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ABSTRACT

These proceedings include the design, agenda flow, program highlights, and materials used in a program for 110 school administrators from three school districts in Oahu (Hawaii). The purposes of the program were to provide participants a broad overview of the current research relating to effective schooling, an opportunity to identify and explore the implications of the research for their work, and experiences to develop alternative plans for using this research in their schools. Presentations were made on (1) the qualities and characteristics of effective schools, (2) the essential ingredients that aid in bringing about change in schools, and (3) the role of the principal as instructional leader. Discussion periods and individual reflective experiences followed each presentation. Responses to an evaluation form and an 18-page bibliography of effective schooling practices conclude the first section of the proceedings. Appendixes contain the instruments used in work sessions. Among these are a schema that plots effective schooling into six cluster areas, a learning log, a values checklist, a self-assessment inventory, a reprint of effective schooling practices in Alaska, a selected bibliography on change/organizational structure, a principal checkup chart, and summaries by the planning team of conference recommendations. (MLF)

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Effective Schooling, Educational Change & the Role of the Principal

Leadership Training Program

Proceedings

NOVEMBER 22–24, 1982

HYATT REGENCY HOTEL • HONOLULU, HAWAII

FOR DISTRICTS OF CENTRAL, HONOLULU AND LEEWARD

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INTRODUCTION

This proceedings document reflects the design, agenda flow, highlights and materials used to launch the Leadership Training Program for administrators of the districts of Central Oahu, Honolulu, and Leeward. As a beginning, it will serve as a basis for designing and implementing school improvement programs based on sound research and development findings and processes. We, of the Northwest Regional Educational Laboratory, are proud to be a part of this venture and look forward in anticipation to working with this group whose commitment and engagement already were demonstrated during three exciting days.

Joseph T. Pascarelli
January, 1983

LIST OF PARTICIPANTS

Principals of Central District
Educational Specialists and Staff of Central District
Mr. Francis Hatanaka, Superintendent, Central District

Principals of Leeward District
Educational Specialists and Staff of Leeward District
Mr. Andy Nii, Superintendent, Leeward District

Principals of Honolulu District
Educational Specialists and Staff of Honolulu District
Dr. Margaret Oda, Superintendent, Honolulu District

Mr. Kengo Takada, Superintendent, Windward District

Hawaii Educational Dissemination Diffusion System Team

Mr. Jack Allen, Division of Planning & Service Coordination
Mr. Ronald Smith, Division of Planning & Service Coordination
Dr. Joseph Pascarelli, Division of Planning & Service Coordination
Northwest Regional Educational Laboratory

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EFFECTIVE SCHOOLING, EDUCATIONAL CHANGE
AND THE ROLE OF THE PRINCIPAL

LEADERSHIP TRAINING PROGRAM

November 22-24, 1982

Hyatt Regency Hotel
Honolulu, Hawaii

for
Central, Honolulu and Leeward
School Districts

AGENDA

Monday, November 22:

8:30 am	o Welcome and Introductions	Mr. Francis Hatanaka Mr. Andrew Nii Dr. Margaret Oda
	o Overview, Purposes, Outcomes	Joseph Pascarelli
	o Expectations, Focus, Workgroups	Jack Allen
	o A Sampling of Research and Development Findings on Effective Schooling	Ron Smith
	o Identifying Characteristics of an Effective School (exercise)	Small groups
	o BREAK	
	o Presentations: "Conditions Necessary for Improving and Sustaining Effectiveness in Schools"	Jack Allen Joe Pascarelli Ron Smith
	o Deriving Implications for Principals	Individual small groups
12:00-1:00	o LUNCH Luncheon Speaker: Dr. Victor Li, President, East-West Center	

Monday, November 22 continued

1:00 pm	o Presentations: "Perspectives on Change: Installing School Effectiveness Processes in Schools"	Jack Allen Joe Pascarelli Ron Smith
	o Exploring the Impact of Change on Classrooms, Schools and Communities (exercise)	Small groups
	o Deriving Implications for Principals	Individual small groups
2:45-3:00	o Recap of the Day, Closure	Ron Smith
3:15-4:15	o Special Planning Meeting	District Planning Teams (Honolulu, Central, Leeward) Jack Allen Joe Pascarelli Ron Smith
	o HOSPITALITY HOUR	

Tuesday, November 23:

8:30 am	o Focusing on the Day	Joe Pascarelli
	o Presentations: "Effective Principals--the Key to Effective Schools"	Jack Allen Joe Pascarelli
	o BREAK	
	o Plotting and Profiling Behavior Characteristics of Effective Principals (exercise)	Small groups
	o Deriving Implications for Principals	Individual small groups

PLANNING LEADERSHIP TRAINING PROGRAMS

Wednesday, November 24, 1982

Participants: District Planning Teams (Central, Honolulu and Leeward Districts)
District Superintendents
NWREL Consultant Team

8:30 am	o Focus: Identification of Optional Planning Models for Enhancing Leadership and School Effectiveness	NWREL Consulting Team
	o Identifying Tools and Frameworks for Planning	NWREL Consulting Team
	o District Planning Worksessions	All
11:45 am	o LUNCH	
	o Special Analysis Worksession	NWREL Consulting Team
12:45 pm	o Reporting Out of Planning Specifications	All
	o Analyzing and Refining the Specifications	All
	o Identification of Agreements and Next Steps	Joe Pascarelli
1:45-2:00	o Closure	Mr. Francis Hatanaka Mr. Andrew Nii Dr. Margaret Oda

Tuesday, November 23 continued

12:00-1:00	o LUNCH Luncheon Speaker: Dr. Donnis Thompson, State Superintendent, Hawaii State Department of Education	
1:00 pm	o Presentations: "Exemplary Projects on Effective Schooling and Instructional Leadership"	Jack Allen Joe Pascarelli Ron Smith
	o Preplanning: Gathering and Summarizing Implications of the Workshop Information as it Relates to the Principals of Central, Honolulu and Leeward School Districts	All Participants District Planning Teams Jack Allen Joe Pascarelli Ron Smith
	o Evaluation	Ron Smith
2:45-3:00	o Projecting Ahead and Closure	Mr. Francis Hatanaka Mr. Andrew Nii Dr. Margaret Oda
3:15-4:00	o Special Planning Meeting	District Planning Teams (Central, Honolulu, Leeward) Jack Allen Joe Pascarelli Ron Smith

WELCOME AND INTRODUCTIONS

Mr. Francis Hatanaka, Mr. Andrew Nii, and Dr. Margaret Oda welcomed the group to the session, reinforced their commitment to providing professional growth opportunities for school and district personnel, and shared some expectations for this first cross-district training program in educational leadership. Each district superintendent, in addition, alluded to the potential impact such sessions can have on school-site and classroom levels.

Dr. Oda then introduced the developers and facilitators of the worksessions--Mr. Jack Allen, Mr. Ron Smith, and Dr. Joe Pascarelli.

OVERVIEW, PURPOSES, AND OUTCOMES

Pascarelli first shared some assumptions upon which the design of the worksessions were based. "The increasingly mature body of research and development in the areas of effective schooling, educational change, and instructional leadership," he stressed, "is telling us that schooling works--that it's possible to diagnose schools and contribute to increasing their effectiveness."

"Principals are keys to school effectiveness," he added, "and I want to invite each of you to step back from your day-to-day roles, take a look at the information we're sharing, and reflect on its significance to you, your role, your school, your teachers, and most importantly your students. We're primarily interested in helping you make your own meaning out of this information and have designed several ways over the next year to make that happen. This workshop is a beginning."

Pascarelli then reviewed with participants the Leadership Training Program Packet which consisted of the following materials:

Purpose, Goals, and Outcomes Sheet. The purposes of the session were to provide participants with a broad overview of the current research relating to Effective Schooling, with an opportunity to identify and explore the implications this research has to their work worlds, and with experiences to develop alternative plans for using this research in their schools.

During the session, participants were to be presented with information about what the research states about the qualities and characteristics of effective schools, about the essential ingredients that aid in bringing about change in schools, and about the role of the principal as instructional leader. In addition, they were to be provided with opportunities to interact with colleagues about the ways in which the research can be effectively implemented in schools and to develop planning processes for applying research findings to schools. Ultimately, this will lead to the development of alternative methods for tailoring research findings to everyday school issues.

Three outcomes of the session for participants focused on the gaining of NEW INSIGHTS into the current research on Effective Schooling, into the process of bringing about appropriate change in schools, and into the instructional leadership role of the principal as the key agent in Effective Schooling processes.

Summary of Within School Factors Thought to Characterize the Instructionally Effective School. A one-page schema that plots the findings of key research studies in Effective Schooling into six cluster areas. (Appendix A - Mann's Summary)

Deriving Implications. A specially-designed learning log to be used by participants during the individual reflective period of each phase of the workshop. As a tool, it provides opportunities to identify discoveries/learnings/insights, to make generalizations, and identify implications in their backhome situations. (Appendix B - Deriving Implications, Stages I-III)

Characteristics of an Effective School. A values checklist reflecting twelve conditions of an instructionally-effective school designed for use during Stage I. (Appendix C - Characteristics of an Effective School)

How Satisfied Are You? A self-assessment inventory to check one's perception about how a school relates to Effective Schooling characteristics. This also was designed for Stage I. (Appendix D - How Satisfied Are You?)

EXPECTATIONS, FOCUS, WORK GROUPS

Jack Allen described the four stages of the Monday-Tuesday design. Each phase was designed to include a presentation of research and development information, a discussion period during which participants interact in small groups around the content presented, and an individual reflective experience during which a learning log is used to record learnings/insights and implications for transfer to the district- or school-site. (Appendix B - Deriving Implications)

The fourth stage was to include presentations of "exemplary" projects being implemented in other parts of the region/nation and also a preplanning session to gather and summarize implications identified by participants for use by the District Planning Team on Day III.

A SAMPLING OF RESEARCH AND DEVELOPMENT FINDINGS ON EFFECTIVE SCHOOLING

Ron Smith provided a brief overview of the research and development findings on Effective Schooling. Some highlights of the presentation are:

- The effectiveness research base emerges from two parallel research traditions--the school as an organizational unit and effective teaching.

- The school effects research studies got started in response to the Coleman Report which suggested that family background and other external factors were by far the most significant determiners of academic achievement.

- The decade of the 70's saw several studies by largely independent investigators searching for schools that were effective.

- The methodologies of the studies varied somewhat but had a common approach. Out of a pool of schools, usually drawn from an urban setting, effective and ineffective schools were identified in relation to some measure of effectiveness, typically performance on a norm-referenced achievement test. To identify the schools, differences in student populations were statistically factored out of the comparisons. Once the identifications were made, all or a sample of the schools were studied in depth. Ethnographic or other descriptive methods were commonly used. Commonalities across effective schools were highlighted in reporting results. Another approach for sorting out the factors associated with the effective schools involved correlational studies. Measurements take on many aspects of a school's structure and operations were related statistically to achievement. The most predictive of the correlations were interpreted as effectiveness characteristics. Sometimes a methodology involving correlation and case study approaches was used.

- The most effective schools/teachers can get students to achieve regardless of their backgrounds.

- As separate studies began to accumulate, reviewers of the research began to see common patterns across studies. Synthesis efforts were undertaken leading to our current understanding of school effects.

- Simply stated, we know, with some confidence, that schools make a difference. The way a school is organized and run does influence student achievement.

- Some of the key studies can be clustered around six dimensions of within school factors--principals' characteristics and behaviors, teachers' characteristics and behaviors, school climate or atmosphere, instructional emphasis, pupil evaluation, and resources.

  (Appendix A - Summary of Within School Factors Thought to Characterize the Instructionally Effective School, Mann, 1981)

IDENTIFYING CHARACTERISTICS OF AN EFFECTIVE SCHOOL

Pascarelli introduced this exercise by stressing the importance of examining one's own value or belief system as one begins to analyze new findings and implications for use. Participants were asked to read and reflect on the twelve characteristics of Effective Schooling (Appendix C - Characteristics of an Effective School) and, on the basis of their own knowledges and experiences, select four that they most value as essential ingredients of an effective school. After selections were made, trios were formed during which participants shared with each other their beliefs.

PRESENTATIONS: "CONDITIONS NECESSARY FOR IMPROVING AND SUSTAINING EFFECTIVENESS IN SCHOOLS"

In three 40-minute rounds, Allen, Pascarelli and Smith presented to three subgroups summaries of research and development findings on Effective Schooling. The research was clustered into three categories: 1) school environment; 2) curriculum, assessment and evaluation; and 3) classroom instruction and management.

Smith addressed school environment. What follows are highlights of the presentation:

- *There have perhaps been more attempts to synthesize the results from the original research studies than there are original studies.*

- *Commonalities, sometimes striking in homogeneity, do exist. Reviewers of the research very in terms of the generality of the characteristics they cite and emphasize some characteristics over others so that no two reviews match exactly in content.*

- *One of the most commonly cited reviews is that done by Edmonds (1979). He highlights the following points:*

  - *Positive climate--incumbent on teachers to be effective with all; priority to basic skills*
  - *Strong administrative leadership*
  - *Climate of expectation for kids*
  - *Orderly classrooms, but not repressive*
  - *Reallocation of resources, if necessary*
  - *Frequent monitoring of pupil progress*

- *Our synthesis at the Northwest Lab focuses on more specific practices that contribute to school effectiveness.*

- *We believe, based on our review of the literature, that an effective school environment includes the following practices:*

-- *Students are expected to learn (high expectations for learning)*
-- *Students are expected to behave (firm, consistent discipline)*
-- *There are expectations for staff (high expectations for quality teaching)*
-- *Everyone knows that time is used for learning (high time on task)*
-- *There are incentives and rewards for students and teachers (positive motivational climate)*
-- *Parents are involved (options for appropriate involvement)*

(Appendix E - Effective Schooling Practices)

Selected concerns with the knowledge base were identified:

o *How confident are we in our description of an effective school environment? How firm is the knowledge base?*

o *The consistency across studies in different states and even countries is encouraging.*

o *However, the nature of the basic methodology used raises some questions. Correlation studies find co-occurrences, not causes. It's not easy to say that the practices "cause" high achievement. It's more accurate to say that when high achievement is present, the characteristics are also present. It may be that the characteristics and the achievement are being caused by some other factor or factors.*

o *Case studies may or may not highlight the key features at work in a school situation. The observers biases more easily influence the result.*

o *The schools reviewed across most studies are urban, elementary and serving a disadvantaged population. It's not certain how well findings concerning these schools generalize to all schools.*

o *The definition of effectiveness generally focuses on cognitive achievement in the basic skills. This may be too narrow a definition. If other criteria were selected, would the effectiveness practices remain stable? We don't know for sure.*

o *Studies to date lack longitudinal depth. Do the characteristics as defined by us contribute to long-term effectiveness? Or do effective schools become more or less effective over time?*

Two conclusions were drawn:

o *Despite some unanswered questions, using the practices cited above seems a prudent recommendation. While no single list of characteristics tells the whole story at this point, the general theme contained in the knowledge base seems sound.*

o *The message is that effective practices are interactive with each other. No single practice will make the difference. In the long* *run, it's the presence of a constellation of mutually supporting practices that cause and sustain effectiveness.*

Pascarelli focused on the areas of curriculum, assessment and evaluation. What follows is the information base for the presentation:

- *It is becoming increasingly clear that some ways of organizing school curricula, assessing student performance and evaluating educational programs contribute to higher student achievement than do others.*

- *A key principle emerging from research is the idea of curriculum alignment....the extent to which learning outcomes, classroom activities and resources, and tests are congruent with each other. Precision alignment seems to be essential for high achievement.*

- *It is important to point out how the idea of alignment first gained attention. Interest in the quality of norm-referenced tests has stimulated comparisons between the instructional goals of classrooms and the content of tests. Several studies have been done with the following being fairly typical of the results.*

- *The IRT (1979) study of norm-referenced tests and their match with textbook content concluded that norm-referenced tests are a poor match for many instructional programs. To get good estimates of school effectiveness, the test must focus on the same content as is actually taught in the curriculum.*

- *This observation led to a logical insight. Students learn what they are taught. This means that learning outcomes, the content of instruction and the content of tests must be aligned if students are to make appropriate, controlled progress and if the overall educational program is to be efficiently focused.*

- *The principle of alignment has been reinforced by several studies, using a variety of approaches ranging from correlational research to program evaluations.*

- *First, several of the school effectiveness research studies have cited aspects of effective schools related to curriculum and assessment.*

- *Several studies note that relatively more effective schools have clear goals for student learning and high expectations that are widely communicated.*

    -- *Brookover (1979)*
    -- *Venezky and Winfield (1979)*
    -- *Weber (1971)*
    -- *Rutter (1979)*
    -- *New York State Department of Education (1974)*

- *Other studies cite the importance of student assessment.*

  - *Levine and Stark (1981)*
  - *Madden, et al. (1980)*
  - *Edmonds (1979) synthesis*

- *Overall, what seems clear is that effective schools have clear goals that are widely communicated and understood, and a monitoring system that tracks student progress through the curriculum. The more effective schools seem to have the elements of alignment present in them.*

- *Another line of evidence supporting the alignment principle comes from the research of S. Alan Cohen at the University of San Francisco (1982). Cohen, in reviewing key variables within successful mastery learning programs found three major features which seemed to account for most of the student achievement gains. One of these features he calls alignment, which refers to the clear objectives targeted instruction and specifically matched formative and summative tests used in mastery learning units. In short, one of the reasons mastery learning works is because of its aligned curriculum structure.*

- *The third and final line of evidence is the work of Niedermeyer (1977). Through a series of studies, he and his team discovered that what is planned (outcomes), what is taught and the assessment of learning are, when in proper relation with each other, correlated with achievement in basic skills. Their work, amplified by others, became the Curriculum Alignment Project, a joint venture of the Los Angeles Unified School District and the Southwest Regional Laboratory. The Project advocates the following implementation steps:*

  - *Become familiar with essential grade-level skills*
  - *Identify skill areas needing additional instructional emphasis*
  - *Plan instruction and note how priority skill areas will be emphasized*
  - *Check student progress in learning the essential grade-level skills*
  - *Acknowledge accomplishments and plan next steps*

- *The message from these diverse sources is clear--an effective school has a tightly aligned curriculum.*

Pascarelli went on to identify some practices that characterize the curriculum and assessment/evaluation programs of effective schools:

- *Identifying what students are expected to learn (outcomes for learning)*

- *Identifying resources to help them learn it (aligned resources)*

- *Identifying approaches that help teachers teach (aligned activities)*
- *Planning for student assessment (coordinated assessment)*
- *Determining frequently how they are doing and letting them know*
- *Taking advantage of new information (using assessment information)*
- *Keeping teachers on target (staff supervision)*

(Appendix E - Effective Schooling Practices)

Two final points concluded this section of the presentation:

- *Clear goals, curriculum alignment, frequent monitoring of student learning and focused program evaluation are part of an effective educational program.*
- *These characteristics and practices interact with other aspects of school organization and classroom instruction to boost student achievement. (These aspects were covered in other presentations during the workshop.)*

Allen emphasized classroom level processes, aspects of classroom instruction and management that contribute to high levels of achievement and social behavior for students. The presentation was based on the following analysis of the research:

- *Effective schools have effective classrooms. Teachers in effective schools provide clear instruction, have few discipline problems and use the available learning to the maximum.*
- *Twenty years of research have revealed a surprisingly homogeneous view of effective classroom teaching.*
- *At first, broad observational inventories were used to record the behaviors of teachers in classrooms. For instance, one of the early researchers in the process-product tradition, Robert Soar, conducted detailed studies of teaching using video-taped lessons which could be reviewed many times. The use of more than 100 categories of teacher behavior in these observational schemes was not uncommon.*
- *Data were then systematically correlated with measure of student achievement in a search for behaviors supporting student learning and those working against it.*
- *As the data base grew, methods of observation improved. Observation systems became more manageable as the emergence of key variables allowed the total number of variables studied to*

diminish. Also, the reliability of the instrumentation improved as the use of low inference behavior categories increased.

- *The correlation studies allowed researchers to begin to recognize clusters of teacher behaviors related to learning. These clusters were used to develop treatment packages--prescriptions for improved classroom teaching that could improve student learning. These packages were systematically tested, using experimental designs, with regular classroom teachers.*

- *Such studies have confirmed, rather strongly, the picture of teacher effectiveness and have validated the results of the correlational studies. They show that: 1) teachers make a difference, 2) that there are relatively more effective and relatively less effective teachers, and 3) that teachers can be taught to be more effective.*

- *The teacher effects knowledge base can be divided into three categories: 1) those studies dealing with the management and delivery of instruction, 2) those dealing with the management of social behavior (discipline), and 3) those dealing with the effective use of learning time.*

- *One group of studies relate the skill of teaching to an objective in a way that causes all students to learn (management and delivery of instruction). They include:*

  -- Anderson, Evertson, Brophy (1979-1982)--first grade reading
  -- Good Grouws (1979)--4th grade reading
  -- Evertson, Emmer, et al. (1981)--junior high
  -- Fitzpatrick (1981, 1982)--high school
  -- Reid (1978, 1979, 1980, 1981)--ECRI
  -- Becker (1977)--Distar
  -- Soar, Gage, Medley, Coker

- *A second group pertains to the skill of establishing and maintaining an orderly classroom that minimizes inappropriate behavior. Referenced are:*

  -- Kounin (1976?)--managing behaviors
  -- Brophy (1979)--praise
  -- Emmer, Evertson and Anderson (1980)--start of year, elementary
  -- Sanford and Evertson (1981)--junior high low SES

- *The third group relates effective use of learning time to the skill of securing high student involvement with appropriate learning tasks. Some studies cited are:*

  -- Stallings (1980)
  -- Denham, Lieberman, Berliner, et al. (1980)

Allen then identified practices that characterize effective teaching management and delivery of instruction, classroom management/discipline, and effective use of time. Details of these practices appear in the "Classroom Instruction and Management" section of Effective Schooling Practices, Appendix E. In addition, the following two concerns about the research base were raised:

- *We don't know the relative effect of sizes attributable to the various practices. We know they interact, but we don't clearly understand which are key (absolutely necessary) as opposed to desirable.*
- *It is uncertain how the practices apply in really extreme circumstances of individual differences. Do the practices work as well with gifted students as they do with remedial students? How does cultural background interact with teaching effectiveness? More work needs to be done to find the full range of application.*

Four final observations were made:

- *The knowledge base is becoming increasingly consolidated.*
- *The practices appear to be appropriate across grade levels and subject matter in a rather uniform way.*
- *The results also illustrate an important overlap in areas of effective thinking. Good instruction contributes to good classroom management contributes to high engagement rates contributes to good instruction, etc.. Different skill areas interact to support each other and student achievement.*
- *These practices portray the state of the art. They are a solid foundation for effective teaching which we may expect all teachers to demonstrate in their classrooms, adjusted and adapted appropriately.*

DERIVING IMPLICATIONS FOR PRINCIPALS

At the conclusion of each of the three rounds of presentations, participants met in small groups to share perceptions and to identify the significance of the information to the Hawaii context.

The discussion period was followed by personal reflective time during which each participant worked through the Deriving Implications Log (Appendix B). Learnings/insights were recorded and implications identified for the self, the school staff, students, and other groups comprising the educational community.

PRESENTATIONS: "PERSPECTIVES ON CHANGE: INSTALLING SCHOOL EFFECTIVENESS PROCESSES IN SCHOOLS"

Using a similar format as in the morning session, Allen, Pascarelli, and Smith presented in three 40-minute rounds to three subgroups. The presentations focused on the change process as it occurs on three levels--individuals, groups, and agencies or organizations. The substance of all three presentations, in the interest of fluency and ease of reading, have been consolidated into the following narrative.

FOCUS: PERSPECTIVES ON CHANGE

Introduction

Change, orderly and planful change that is, does not occur either by accident or edict. It is a result of a recognition that individuals, groups, and agencies or institutions each have a piece of the action and that the different activities at each of these levels must be orchestrated in a way which provides appropriate rewards at each level.

Keeping this need to orchestrate in mind, one must look to the research to determine who must play the role of orchestrator for that change which is most likely to produce effective schools, and a quick examination of the research indicates that this role falls to the school principal. If it is true that the principal must be the orchestrator of change, then it behooves that person to know all there is to know about the change process as it relates to the actors--individuals, groups, and agencies or institutions.

In this paper, the change process is divided into four categories.

They are:

- -- Needs
- -- Development
- -- Implementation
- -- Rewards

The actors who are involved in change are defined as:

- -- Individuals
- -- Groups
- -- Agencies or Institutions

To clarify the interplay between the change process and the actors, the following matrix (Figure 1, Change Matrix) has been developed. Along the vertical axis the actors are displayed, and on the horizontal axis the categories of the change process are displayed. In each cell, then, are those interests, concerns, and prerogatives of each type of actor as they relate to each category of change. The Matrix can be used by the principal so that she/he can understand the dynamics of change before they occur and be prepared to incorporate them as a productive part of each planned change.

Discussion of Matrix Content

Needs, Individual. Usually individuals look to their relationships with friends and families and to the pursuit of hobbies and other interests to meet their needs for personal happiness and confidence. In education, as in other high pressure professions, the demands on time and energy are so great that the individuals in this field frequently draw upon their success and recognition of their work for meeting some of their personal needs. When changes are instituted which affect them, the changes can be interpreted as threatening to the personal needs and care must be exercised so that proposed changes do not come across as negative feedback which indicates to the individual that he or she has held false values

CHANGF MATRIX

NEEDS

	INDIVIDUAL	GROUP	SYSTEM
NEEDS	• Personal happiness and confidence	• Members with common interests	• Compliance with policies and procedures
	• Professional success and recognition	• Pride in the group's attainments	• Quality of performance by individuals and groups
	• Control over personal and professional life	• Support of individual members and recognition by system it wants to influence	• Quality product resulting from the effect of its policies and procedures
		• Power to influence the direction and decisions of the system	• Loyalty and cooperation from employees

CHANGE MATRIX

DEVELOPMENT

	INDIVIDUAL	GROUP	SYSTEM
DEVELOPMENT	• Is allowed influence role which he/she is asked to play	• Sees potential change as positive for membership	• Recognizes individual and group work through support of time, funds and information
	• Has the opportunity to study possible alternatives	• Can organize time and perosnnel without major upset to other activities	• Provides a protected environment where development is encouraged
	• Is sure time will not be wasted	• Sees that work fits common interests and will unite and strengthen group's position	• Responds to suggestions from group or individuals through modification of policies and procedures
	• Can make choice about involvement level		

CHANGE MATRIX

IMPLEMENTATION.

	INDIVIDUAL	GROUP	SYSTEM
IMPLEMENTATION	• Sees reason to buy into new program	• Provides security and protection to involved individuals	• Provides resources
	• Commits time to study and learning of skills, etc.	• Makes modifications in plan as a result of individual effort and discovery	• Establishes evaluation guidelines and criteria
	• Makes modification to fit specific conditions	• Promotes new program publically and seeks support	• Monitors implementation results
	• Carries out individual responsibility	• Reports results to authority	• Reports results
	• Receives credit for good work		• Supports dissemination and modification

CHANGE MATRIX

REWARDS

	INDIVIDUAL	GROUP	SYSTEM
REWARDS	• Personal satisfaction	○ Recognition and greater attraction for membership	• Program provides better product or reduced cost
	• Professional recognition	• Strengthening of role in effecting system behavior	• Recognition of improvement reduces attack and increases support
	• More satisfying working conditions	• Gains position of strength because of success	• Has new and improved options to make other changes in the future
	• Financial reward		
	• Status reward		

Figure 1. Change Matrix

or has somehow built personal satisfaction upon faulty or false beliefs.

Needs, Group. All individuals associate themselves with others, and we loosely refer to these associations as groups. Grouping, both formal and informal, is done on the basis of common interest or need. The interest or need can be for social purposes, professional purposes, political purposes, or others. School groupings might be all grade level teachers in a building, all social studies teachers, or a group who have a new reading strategy to promote.

To bring about planful change in a school, it is important to know the strengths and needs of groups and to draw upon them in ways which fulfill their needs and allow them to provide some of the rewards and recognitions which individuals need.

> Warning--formal groups such as department chairpersons which have been devised by the authority structure may not be the type of group which will aid the change process since membership is forced rather than a natural choice.

The principal must know the groupings of the staff and also know the interests and concerns of the various groups. With this information, it is possible to create a positive set of forces working toward a desired change. Remember that groups attract membership through being successful in forwarding the members' desires and needs, and this means that the group must receive recognition for success and must be seen as a part of the decision-making process.

Needs, Agency or Institution. The agency or institution has relatively few needs; however, they are very important to the change process. Without addressing these needs, it is unlikely that any significant change can take place in a local school. The agencie's needs are mainly concerned with law and authority. That is, the agency must expect compliance with policy and procedure or it becomes an anarchy and has little chance to meet its stated goals. In addition, it needs to have quality performance, loyalty and cooperation from its employees. If this is not forthcoming, then it has the power to thwart any action which individuals and/or groups may wish to take. A clear understanding of the needs of the agency or institution is vital to the person who wants to orchestrate a planful change in a local school. Without this understanding, there is great possibility that the agency will place policy and procedure as blocks whenever change is suggested.

Development, Individual. Time, interests, choice and some chance for success are the key issues for individuals in the development process. The orchestrator of change must recognize that all individuals have different interests. There will be some who feel that the development activities are the most important aspect of any change and some who have no interest in development activities. Care must be used in deciding who must be actively involved and who must be only informed of the work. For those who do become actively involved in development, the important issues are time and an assurance that the change they are working on will be successful.

The time problem is two-fold. The individual needs and wants ample time to explore the literature and examine the alternatives. On the other side, however, the development process can't be seen as taking great quantities of time from activities which provide personal rewards, or from time which is devoted to the main professional role which he/she holds.

The issue of chance for success (that is, if the individual puts in the time and effort, will the project actually work or will it even get to the implementation stage) is very crucial. If there is a history of starting one project after another with none of them actually ever getting implemented, there is little chance that staff will be interested in working on yet another one. Also, if the change has little backing in the literature or the research data, few individuals will be interested in devoting much time to development.

Development, Group. When considering the role which groups play in the development process, it is very important to keep in mind that groups have formed for their own purposes, and they will be resistant to anything which appears to detract from their ability to achieve these purposes. It is therefore necessary to examine the purposes of both formal and informal groups within the school to determine if and how they should be involved. The role they are asked to play must match with the group's purposes, and must be seen by the group as strengthening its position with its members.

Development Agency or Institution. Since the individual local school cannot expect to accomplish a great deal in the way of planful changes without the support of the agency or institution, the orchestrator of the change process must take the role of the agency into account at each stage of change. At the development stage, the agency can play an important role in providing the resources needed such as time and information. It can also begin to set the stage for any policy and procedure changes which may be necessary when the implementation stage arrives. The orchestrator of the change at the local level should recognize the agency role, and be prepared to provide it with the necessary information, plans and involvement in the change process so that it will be supportive and willing to play its appropriate role.

Implementation, Individual. Implementation effects individuals in different ways than does development. In the implementation stage, individuals have fewer choices since implementation means that all teachers or a segment of the teachers must actually change their behavior or use new materials, etc.. It is because of this broader involvement requirement at this level that the appropriate involvement of individuals was important in the development level. Individuals must have ownership in whatever will be required of them in implementation. The individual must still have some choices at this level, however, those choices relate now to making minor modifications as are seen necessary in each individual's work environment. Rather direct guidelines must be established to set the parameters within which change can be made.

Implementation, Group. At the implementation stage, groups are not usually actively engaged since implementation activities are usually directed to the individual. Group involvement should not be neglected, though, since the group can provide some important functions in making implementation move smoothly. Some of the ways in which groups can be involved are:

-- Provide individuals with a peer group setting in which to discuss the problems, successes or frustrations of their implementation work

-- Provide individuals with a forum in which to discuss specific issues which may lead to the need for making modifications

-- Act as mediary between individuals and the authority offices in working out problems or differences in beliefs relative to the change being implemented

-- Provide avenues for informing others outside the school about the change and what is taking place as a result of the change

Implementation, Agency or Institution. If the orchestrator of the change process has taken care to address the needs of the agency or institution during the development stage, then the agency or institution can be depended upon to play its vital function during the implementation stage. This role, which is so important, is to continue to provide resources, that is, funding, support personnel, facilities, etc.--all requirements to make implementation possible. Of equal importance is the service of developing evaluation guidelines, providing personnel or consultants to conduct program evaluations, and ongoing monitoring and feedback to those involved in implementing the change. In addition, the agency or institution has an obligation to the community to report accurately what is going on and any results data. This reporting is to the professional community (those professionals within the agency) and to the constituent community (those who are paying for or receiving the services).

Rewards, Individual. It is important to know that individuals require rewards of some nature to provide the encouragement drive to initiate and carry out most activities. This is not a negative statement, but rather a well-documented fact. The rewards which provide the stimulus for action vary dramatically with each individual, and it is the obligation of anyone who wishes to bring about a change in an individual's behavior to know what reward systems are causing the individual to behave in his or her present mode and how those same or other reward systems can bring about desired change. Some of the major reward systems which provide individuals with the stimulus to achieve goals or carry out their various roles are:

-- Personal Satisfaction
-- Professional Satisfaction
-- Personal Recognition
-- Professional Recognition

-- Financial or Monetary Reward
-- Status Reward
-- Power and Authority

It behooves the orchestrator of a change effort to know these reward mechanisms and to plan carefully at all stages of the change process so that they are appropriately utilized.

Rewards, Group. Basically, the same reward systems affect how groups involve themselves in any type of activity. However, it must be remembered that groups, both formal and informal, usually have different ends in mind than do individuals. That is, a group may want to involve itself in some activity in order to attract membership, or it may get involved in order to strengthen its position to gain some benefit for its members. Sometimes groups involve themselves in certain endeavors to achieve more than one reward, and this makes it much more complex for the orchestrator of a change to know what reward system or systems will provide the appropriate stimulus to secure the fullest cooperation of a group in the change process. A careful study of a group's stated purpose or its goals which it has worked toward in the past should provide some clues relative to the kinds of rewards for which it is willing to work.

Rewards, Agency or Institution. Once again, the reward systems which have been identified above remain the same. The type of reward which may be important, from any one of the systems, is what changes. At the agency level, monetary rewards come in the form of increased budgets to accomplish specified goals or in reducing costs so that the agency can use its money to accomplish more goals or to reach a higher level of accomplishment on its current goals. Satisfaction is achieved through the reduction of complaints from the clients or open recognition of excellence from the press. Power is realized through increased options to carry out its functions or new knowledge to do further improvement in its operation. The orchestrator of change must recognize these reward systems and include them as an integral part of the effort in which she/he is engaged or little lasting success will be realized.

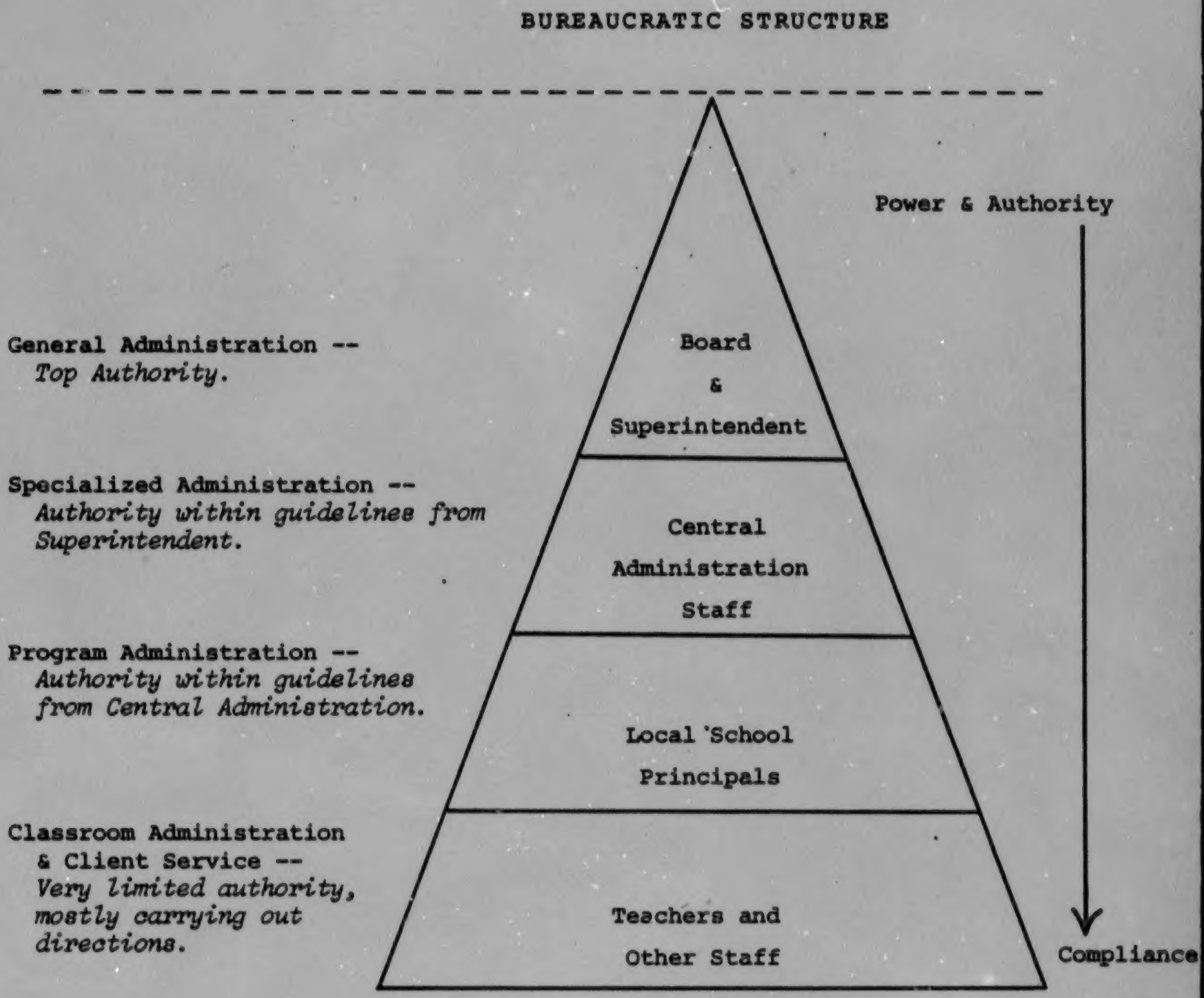
> Caution: Employing knowledge of reward systems must be clearly in the open. If rewards are employed covertly, individuals, groups or agencies will most likely perceive the person using them as a manipulator and will thus seriously question both the motives of the person and the objectives being promoted.

Thoughts About Organizational Structure and Change

Anyone interested in bringing about orderly and planful change in an organization should understand the structure of the organization. In many cases, this means knowing more about how the organization makes decisions than what appears in the organizational chart. Most educational agencies or institutions think of themselves as bureaucracies and design their organizational charts to represent this structure. Much of the research about organizational structure has tended to support the view that educational agencies are bureaucracies. Figure 2 (following page) illustrates this point.

Much of the recent research indicates that there may be, in fact, a very different organizational structure in place in educational institutions or agencies. The name given to this is a "loosely coupled association." This structure is best described as one in which an organization behaves, for some functions, in the typical bureaucratic line and staff manner, but in other functions behaves in a manner which disperses authority, power and responsibility to a variety of positions within the organization. The typical bureaucracy part of the structure is at the Board and Superintendent level. Here parameters are established

Figure 2. Bureaucratic Structure


BUREAUCRATIC STRUCTURE
Power & Authority
Compliance
Board & Superintendent
Central Administration Staff
Local School Principals
Teachers and Other Staff
General Administration -- *Top Authority.*
Specialized Administration -- *Authority within guidelines from Superintendent.*
Program Administration -- *Authority within guidelines from Central Administration.*
Classroom Administration & Client Service -- *Very limited authority, mostly carrying out directions.*

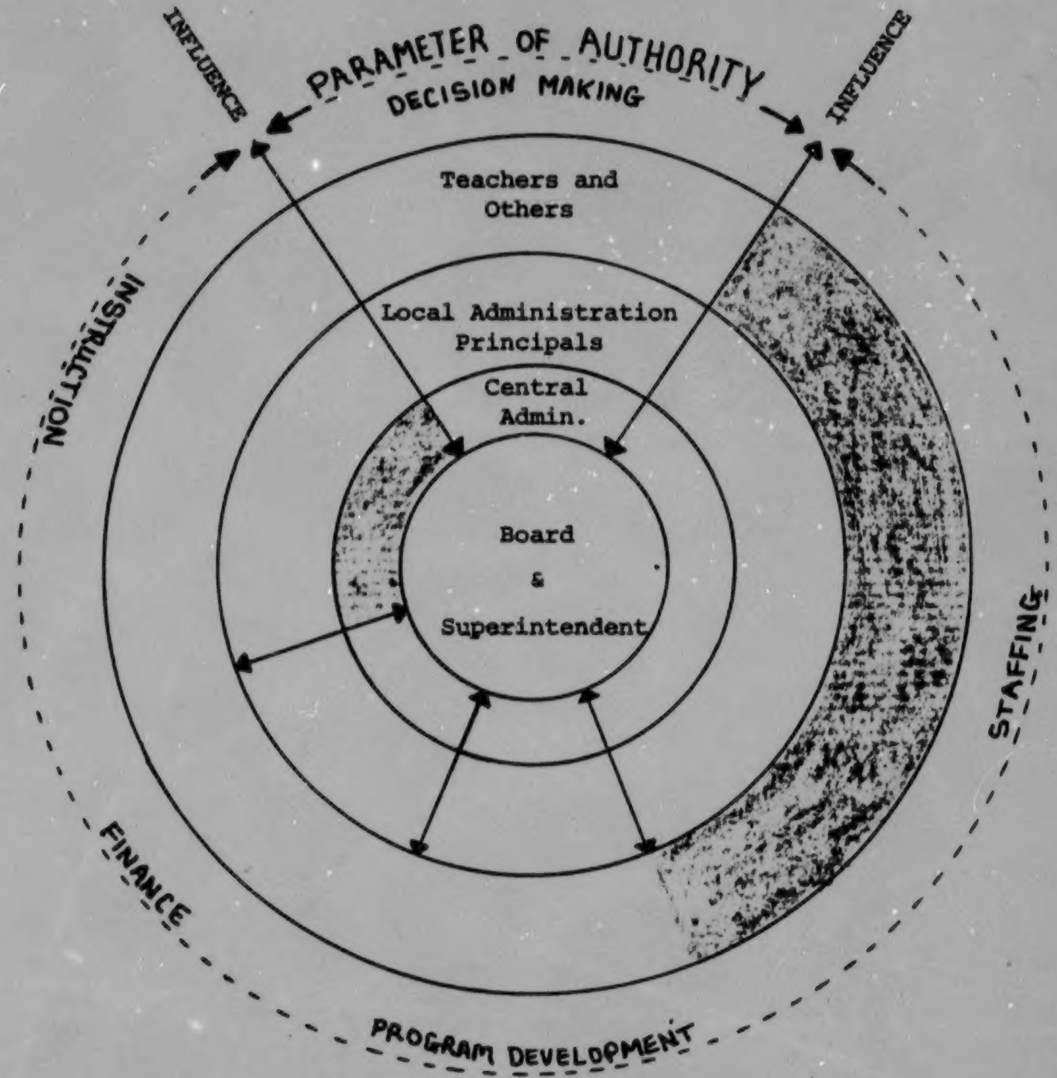
which can be made at various levels within the organization and some of the limits of authority are established for each type of function which the organization performs. A graphic illustration of the loosely coupled association structure would look somewhat like Figure 3 on the following page.

Briefly, the illustration shows that under this organizational structure, the Board and Superintendent have power authority and responsibility over all functions of the organization. However, they set parameters whereby all levels have a degree of power influence and responsibility for as many or as few of the functions of the organization as they believe is appropriate. The illustration also indicates that there is a broader level of authority allowed in staffing than in finance, and yet the teachers and others are allowed no influence at all in this function.

Although the above discussion is not comprehensive, it does illustrate that knowledge of the structure of an organization is important to those who would be involved in orchestrating a change effort within the organization. The match between one's understanding of the organizational structure and the actual organizational structure will be a major factor in the success of bringing about change.

To relate this discussion to the Change Matrix (Figure 1), one must look at the portion of the Matrix which contains the needs of agencies or institutions. Working to promote meeting these needs on the basis that the organization is a bureaucracy when it is actually a loosely coupled association would produce conflict and dissatisfaction. To the degree that these conditions exist, the agency will resist rather than support change and little success in the way of orderly and planful change will occur. (See Appendix F - A Selected Bibliography on Change)

FIGURE 3. A Loosely Coupled School District Organization


INFLUENCE
PARAMETER OF AUTHORITY
DECISION MAKING
INFLUENCE
Teachers and Others
Local Administration Principals
Central Admin.
Board & Superintendent
INSTRUCTION
STAFFING
FINANCE
PROGRAM DEVELOPMENT

EXPLORING THE IMPACT OF CHANGE ON CLASSROOMS, SCHOOLS AND COMMUNITIES

Participants, using a set of scenarios, discussed ways in which personal, group and organizational needs, rewards and success measures interrelate as change occurs.

DERIVING IMPLICATIONS FOR PRINCIPALS

During this personal reflective time period, each participant continued to add to the Deriving Implications Log (Appendix B), recording learnings/insights and implications identified for the self, the school staff, students and other groups comprising the educational community.

PRESENTATIONS: "EFFECTIVE PRINCIPALS--THE KEY TO EFFECTIVE SCHOOLS"

> If a school is a vibrant, innovative, child-centered place; if it has a reputation for excellence in teaching; if students are performing to the best of their ability, one can almost always point to the principal's leadership as the key to success.
>
> U. S. Senate

This presentation attempted to respond to three sets of questions about the role of the principal in relation to Effective Schooling:

Set 1. *What does the R&D base state about effective principals? What are some indicators of effective principaling?*

Set 2. *What can a principal do to enhance his/her effectiveness? What are some issues to be aware of as a principal pursues professional growth?*

Set 3. *How does a principal stay effective? What attitudes and behaviors are necessary to remain effective?*

Round 1 reviewed some key themes emerging from the R&D base on Effective Schooling and the role of the principal. For example, principals of effective schools:

- are recognized as instructional leaders and set the tone for schools
- have high expectations for their staff and students
- assume active roles in providing motivation and support for school improvement
- clearly articulate and "live" the mission of schools
- express priorities clearly
- assume responsibility for school climates that are orderly and conducive to learning
- are assertive and proactive
- accept responsibility and leadership for an instructional program that has well-designed objectives and well-organized instructional systems, including effective and ongoing monitoring processes

A schema developed by Daniel Duke (Figure 4 - Leadership Functions and Instructional Effectiveness) was used to crosswalk or anchor such themes to functional bases, and in this manner enabled participants to understand to what areas a principal needs to attend in order to be effective.

In the area of inservice, effective principals tend to tie inservice activities directly to the goals of schools. Inservice is of a continuing nature and staff are directly involved in the design stage. Intentional efforts are made to motivate staff to work towards the goals of schools and to share with staff leadership functions. Additionally, decision-making processes are clear, consistent and involve input from staff.

Specific techniques were identified that principals can use to demonstrate instructional support:

- use fewer and shorter, more focused staff meetings
- be agressive in dealing with attendance-related issues

Leadership Functions and Instructional Effectiveness

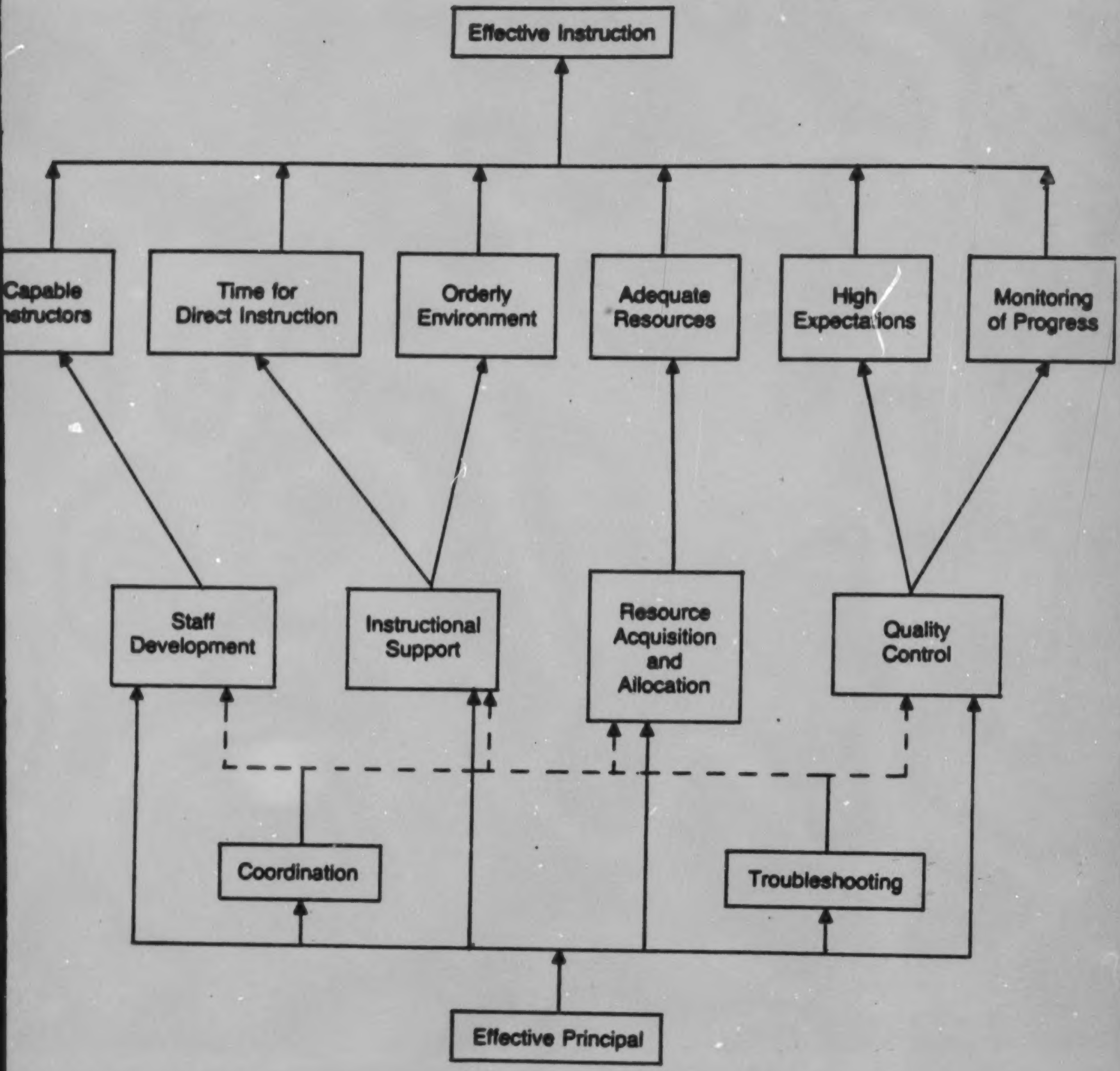

Effective Instruction
Capable
nstructors
Time for Direct Instruction
Orderly Environment
Adequate Resources
High Expectations
Monitoring of Progress
Staff Development
Instructional Support
Resource Acquisition and Allocation
Quality Control
Coordination
Troubleshooting
Effective Principal

Figure 4 - Leadership Functions and Instructional Effectiveness

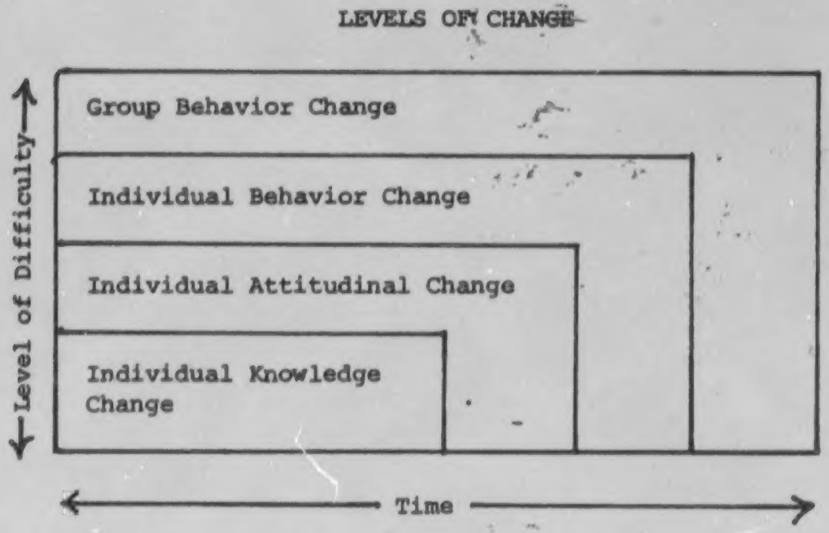
- proactively keep parents informed
- expect teachers to be consistent
- examine teachers' management plans
- minimize classroom interruptions
- be aware of one's own leadership style(s) and use it with intentionality
- communicate high expectations--a can-do attitude
- recognize staff and student achievement
- spend instructional time in classrooms
- clearly communicate on all levels of the system
- share beliefs, values and expectations with staff
- articulate the *focus* of the school
- encourage the development of management plans to help with discipline

Emphasis was placed on the use of problem-solving processes as a norm in dealing with a variety of issues relating to schooling, especially in principal/staff, staff/staff relationships.

The second set of questions that this part of the presentation focused on is the process of change as it relates to professional growth--of a school staff and perhaps more importantly, of the principal him/herself. Hersey and Blanchard's taxonomy of change served as a basis of discussion. (Figure 5 - *Levels of Change*). The interdependencies that exist among knowledge, attitudinal changes were stressed, as well as time factors and levels of difficulty which provide a rationale for long-range, non-linear change models. Attitudinal change is necessary if behavioral change is expected. It's the dynamic interplay between knowledge and attitudinal change that produces behavioral change.

These factors are vital to consider as one personally begins to

Figure 5 - Levels of Change


LEVELS OF CHANGE
Group Behavior Change
Individual Behavior Change
Individual Attitudinal Change
Individual Knowledge Change
Level of Difficulty
Time

pursue growth opportunities or manages similar opportunities (staff development) for others. In sum, change occurs over time, is difficult, and is processual.

To reinforce the earlier presentation on change, personal growth factors were listed and discussed:

- o willingness
- o commitment
- o motivation
- o capacity
- o risk taking
- o influence

Finally, seven conditions that need to be present in order to expect change (person, group, or organizational) to occur were reviewed:

- o the need for an internal press for change
- o access to resources and support systems
- o opportunities to exchange ideas
- o respected and set meeting times
- o group skills to work collaboratively
- o clear communication norms
- o the spirit of risk taking

The final set of questions deal with maintaining effectiveness. A more loosely-structured, less-prescriptive approach was used to interpret and elaborate on the issue of maintenance. A metaphorical scripting technique was used to highlight aspects of maintenance not usually perceived. It is an alternate framework that serves to free up and to enable one to think in more creative ways.

Principals were asked to use the human body and its functioning as a *metaphor for keeping "fit." A set of quick questions were used to bring a new perspective to professional development or growth. Using this metaphor, then, the following illustrative questions were raised:*

- o *What should a physically fit principal be doing to maintain his/her effectiveness?*
- o *What kind of workouts? exercises? should occur?*
- o *How does one prevent muscles from atrophying? How to keep the flab off?*
- o *What about vision? Is it clear? Is it shared?*
- o *What about nutrition?*
- o *At the end of the digestive process, are the resultant products being distributed throughout the system where needed?*
- o *Is major/minor surgery necessary?*

Extending the metaphor, participants were asked to examine the self-inventory (Appendix G - Check-Up Chart) and do some self-examination.

BREAK - MEETING OF PLANNING TEAM

During the break, Pascarelli, Allen and Smith discussed with the members of the planning team the importance of their roles as data collectors and summarizers, as reflectors of peer needs and concerns, and as analyzers for identifying next steps.

PLOTTING AND PROFILING BEHAVIORAL CHARACTERISTICS OF EFFECTIVE PRINCIPALS

Participants were then given the opportunity to do some self-diagnosis using a specially designed inventory list of "effective Principal" behaviors. (Appendix G - Check-Up Chart). Designed to extend the physical fitness metaphor introduced in the earlier presentations, the Chart enabled principals and others to engage in a self-perception check of their professional fitness. This inventory translates R&D findings on principals' characteristics in effective schools to specific behavioral characteristics that are readily observable. A brief sharing period followed.

DERIVING IMPLICATIONS FOR PRINCIPALS

For the final reflective period, each participant reviewed earlier entries in the Deriving Implications Log (Appendix B), recorded new information and implications based on the last presentation and exercise, and made a final analysis of his/her experiences.

INDIVIDUAL DISTRICT DISCUSSION SESSIONS

Planning team members led focus discussions during which participants shared their perceptions and ideas about the significance of the session, implications for backhome application, and additional training needs.

PROJECTING AHEAD AND CLOSURE

(Due to inclement weather conditions, it was necessary to close the session at this point.)

Pascarelli reconvened the large group and refocused on the three stages of the design and the foci on effective schooling, educational change, and the role of the principal. He pointed out that the R&D information communicated is only valuable if it begins to be applied in school settings and that the basic purpose of the session was to provide a grounding for principals and district specialists. The next step is to collect and analyze the implications identified by each participant. Hence the mission of the planning team will be to do this analysis on Day III and begin to identify basic planning specifications for additional sessions. Finally, a timeline was shared with the group and specific next steps identified.

Pascarelli then thanked the participants for their willingness, conscientiousness and open-mindedness during the session. He also thanked Mr. Hatanaka, Mr. Nii and Dr. Oda for the opportunity of interacting with the professionals of Central, Honolulu and Leeward School Districts, noting the high quality of performance that must certainly be reflected in the schools.

Mr. Hatanaka, Mr. Nii, and Dr. Oda formally closed this part of the session, reminding the planning team of the Day III planning agenda.

Dr. Thompson, State Superintendent, addressed the group during the luncheon. She illustrated the congruency that exists between the Superintendent's Expectations and the Leadership Training Program on Effective Schooling, Educational Change, and the Role of the Principal. She encouraged the group to continue to pursue such professional development opportunities--to use new and effective knowledge bases to enhance the quality of Hawaii schools.

SPECIAL PLANNING TEAM MEETING

The planning team agreed to analyze individual Deriving Implications logs and return on Day III for developing planning specifications.

PLANNING SESSION - DAY III

The list of planning team members, agenda flow, and planning specifications (listed as District Planning Team Output) appear in Attachment #1.

EFFECTIVE SCHOOLING, EDUCATIONAL CHANGE AND THE ROLE OF THE PRINCIPAL

LEADERSHIP TRAINING PROGRAM

November 22-24, 1982

Hyatt Regency Hotel
Honolulu, Hawaii

for
Central, Honolulu and Leeward
School Districts

N = 110

TRAINING EVALUATION FORM

1. Circle (YES) or (NO) for each statement below:

Did this seminar and the material presented achieve its objectives for you in:

	YES	NO	N/R*
a. Presenting information about what the research states about the qualities and characteristics of effective schools	(103)	(6)	(1)
b. Presenting information about the essential ingredients that aid in bringing about change in schools	(96)	(13)	(1)
c. Presenting information about the role of the principal as the instructional leader	(98)	(9)	(1)
d. Providing opportunities to interact with colleagues about the ways in which the research can be effectively implemented in schools	(73)	(34)	(2)
e. Providing opportunities to develop planning processes for applying research findings to schools and developing alternative methods for tailoring research findings to everyday school issues	(52)	(51)	(6)

Comments:

-- Need to provide more time for indepth interaction.

-- Presentations needed to be more organized, professional.

*N/R = No Response.

NORTHWEST REGIONAL EDUCATIONAL LABORATORY
300 S. W. Sixth Avenue
Portland, Oregon 97204

2. Rate each of the training sessions on the following variables by checking (✓) along the scale how strongly you feel. (Refer to the training agenda if you need to.)

a. MONDAY A.M.--"Conditions Necessary for Improving and Sustaining Instructional Effectiveness in Schools"

														N/R
boring	2	1	4	4	13	17	4	7	13	18	12	8	interesting	7
too slow	2	3	6	8	6	22	23	4	10	4	8	5	too fast-paced	8
relevant	15	10	21	11	11	15	6	3	3	5	3	0	irrelevant	7
disorganized	4	5	4	8	5	12	7	10	14	12	9	14	organized	6
useless	0	1	2	7	7	10	9	7	14	19	12	15	useful	7

b. MONDAY P.M.--"Perspectives in Change: Installing School Effectiveness Processes in Schools"

boring	3	1	3	1	11	13	12	9	12	14	14	8	interesting	8
too slow	3	3	4	5	10	20	19	7	10	10	5	3	too fast-paced	10
relevant	14	11	17	12	15	10	8	3	2	4	4	2	irrelevant	8
disorganized	3	1	6	6	7	13	10	7	13	17	8	10	organized	9
useless	1	1	2	3	8	12	14	4	13	20	12	13	useful	7

c. TUESDAY A.M.--"Effective Principals--The Key to Effective Schools"

boring	2	3	2	5	6	11	4	9	19	20	16	11	interesting	4
too slow	3	6	3	3	7	23	29	11	10	9	4	3	too fast-paced	9
relevant	13	14	15	13	14	11	5	4	7	3	6	2	irrelevant	5
disorganized	2	3		8	4	12	7	10	13	15	15	9	organized	7
useless	1	2	0	9	4	12	12	9	7	16	14	16	useful	9

d. TUESDAY P.M.--"Exemplary Projects/Preplanning"

Not Applicable

boring													interesting
too slow													too fast-paced
relevant													irrelevant
disorganized													organized
useless													useful

Now, please go back and rank order the activities; 1 = most favorite or useful to 4 = least favorite or useful. Use the lines to the left of each letter.

3. What was of greatest value to you in this session?

   - Opportunity for sharing with consultant, colleagues
   - Access to resource knowledge base
   - Opportunity for reaffirmation/refresher
   - Better understanding of role/importance of the principal in effective schooling

4. Was there anything that is not useful or relevant that you would recommend being changed or dropped? What?

   - Too much information presented in too little time
   - Insufficient time for questions/interaction
   - More active participation by group; less sitting and listening

5. Do you have any comments about the materials (i.e., format, content, amount, etc.)?

   - Clearer, more readable, more professional visual aids needed
   - Materials should have been passed out at end of each session or even mailed out prior to the conference
   - Would like to have a good bibliography

6. Any suggested changes, comments?

   - Separate rooms for small group sessions; noise was disrupting; could not focus on presentations; facilities generally poor for this type of conference
   - Should have had tables available so we could comfortably take notes
   - Felt "talked at"
   - Regretted not having exemplary projects session--might have been the most meaningful of the four

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APPENDIX A

Summary of Within School Factors Thought to Characterize the Instructionally Effective School

TABLE I. SUMMARY OF WITHIN SCHOOL FACTORS THOUGHT TO CHARACTERIZE THE INSTRUCTIONALLY EFFECTIVE SCHOOL

	EDMONDS	CLARK LOTTO McCARTHY	VENEZKY WINFIELD	MADDEN LAWSON SWEET	BROOKOVER LEZOTTE	AUSTIN	MADAUS ET AL
	(20 Detroit and 5 Lansing Schools: achievement data plus case analysis)	(Secondary analysis of 117 urban education studies plus elite interviews)	(Reading programs of two urban, minority schools, one high, one low achieving)	(Controlled for class. 21 high achieving/low achieving schools)	(6 improving, 2 declining Michigan schools)	(Secondary analysis of 4 SDE studies of "exceptional" schools)	(Re-examination of school effectiveness studies)
(A) Principals' characteristics and behavior	Strong leadership	High expectations	High expectations of reading achievement; high task orientation; works closely with specialists; high risk reading goals.	Directive about decisions, but "supportive" of teachers.	Assertive leader, responsible for evaluation of accomplishment of objectives. High expectations of kids.	Strong leadership, observes & teaches high program control, more experience & "pertinent" education. High expectations of all.	High expectations; high structure; clear goals.
(B) Teachers' characteristics and behavior	High expectations of childrens' minimum performance.	Staff development programs with specific goals.	Confident, inventive, flexible; encourage students, maintain discipline; high staff. development; low time on administrative work.	"Task oriented."	High expectations for all kids of beginning and of further academic achievement. Feel responsible for teaching. "Accountable." Less satisfied.	More experience, more "pertinent" education. "Warmer high expectations of kids.	High expectations of students; provide structured classrooms, emphasize homework.
(C) School climate or atmosphere	Orderly, conducive to learning, quiet.	Structured learning environment.	High morale; effective use of praise; focus on student achievement.		"Disciplined."		Student discipline & structured learning stressed."Traditional values" of teaching and learning.
(D) Instructional emphasis	Highest priority to pupil acquisition of basic skills.	Concentration on teaching clear goals.	Highest priority to reading with clear goals; homogeneous groupings for reading; client centered services, adaptable instruction.	More time to social studies. More whole group instruction.	Emphasis on reading and math. More time invested.	Emphasis on cognitive development. Longer instructional day.	"Strong press for academic excellence." Emphasis on homework and study.
(E) Pupil Evaluation	Frequent.	"Individualized Instruction."	Closely monitored student progress.	Yes.	Teachers accept pupil test results as measure of their adult performance.	Teacher-made tests.	Tests closely related to syllabus. Test taking skills stressed.
(F) Resources	Flexible allocation to follow priorities.	Small classes, more adults. Outside, extra money.	Availability and coordination of extra personnel, time and materials; supplementary materials.	Many adult volunteers, fewer paid aides, high access to additional materials.	Not high use of paraprofessionals.	"Close involvement" of teachers and paraprofessionals with pupils.	"Shared purposefulness" among school persons and home.

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APPENDIX B

Deriving Implications

Stages I-II-III

DERIVING IMPLICATIONS

STAGE I: EFFECTIVE SCHOOLING

In light of what is happening during this stage, what implications do I see for myself as a principal?

What have I discovered? What have I learned? What insights can I make? What generalizations can I make?	Implications for my role as principal...	Implcations for my staff...	Implications for my students...	Implications for other groups... • parents, district offices, DOE, etc.

STAGE II: SCHOOLS AND CHANGE

DERIVING IMPLICATIONS

In light of what is happening during this stage, what implications do I see for myself as principal?

What have I discovered? What have I learned? What insights can I make? What generalizations can I make?	Implications for my role as principal...	Implications for my staff...	Implications for my students...	Implications for other groups... parents, district offices, DOE, etc.

DERIVING IMPLICATIONS

STAGE III: THE ROLE OF THE PRINCIPAL

In light of what is happening during this stage, what implications do I see for myself as principal?

What have I discovered? What have I learned? What insights can I make? What generalizations can I make?	Implications for my role as principal...	Implications for my staff...	Implications for my students...	Implications for other groups... parents, district office, DOE, etc.

APPENDIX C

Characteristics of an Effective School

CHARACTERISTICS OF AN EFFECTIVE SCHOOL

We have adapted some of the research findings on Effective Schooling into the following checklist that reflects conditions that characterize an instructionally effective school. We'd like you to take this opportunity to reflect on these 12 conditions and, recognizing that all of them are valid based on current research, select 4 that you personally value more than others as key contributors to an effective school. We are asking you to use your own experiences and knowledges as a skilled educator in this exercise. Your choices, then, reflect your personal beliefs.

Indicate your selection by placing an "x" before each statement.

Upon completion, you will be asked to share your selections with some of your colleagues.

___ 1. Teachers have clear expectations that all students can be taught and none will fall below the minimum levels of achievement.

___ 2. Students believe that they can learn and that by their own efforts they can control their achievement.

___ 3. Teachers treat all students equivalently and do not divide them by ability.

___ 4. In a good school, the whole faculty adheres to mastery learning concepts.

___ 5. Acquisition of basic skills takes precedence over other school activities.

___ 6. Teachers use cooperative team learning techniques to promote peer instruction, motivation and integration.

___ 7. Monitoring of pupil progress in relationship to instructional objectives is a frequent activity (greater reliance on achievement tests).

___ 8. The school staff maintains an orderly, well-structured environment conducive to maximum academic engaged time.

___ 9. The principal is assertively involved directly or indirectly in the instructional program.

___10. The staff develops a high degree of shared expectations and norms for collegial work and continuous improvement.

___11. A system for recognition for achievement and positive behavior is in operation.

___12. Ongoing involvement of parents exists that reinforces the expectations that students will achieve.

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APPENDIX D

How Satisfied Are You?

HOW SATISFIED ARE YOU?

Now that you've been participating in some discussions about Effective Schooling characteristics, we invite you to reflect on your back-home situation. Think about your school--the staff, students, and the teaching/learning environment. What are your perceptions about how your school is doing with relation to these Effective Schooling characteristics?

Reflect on the following list of 12 items that you've reacted to earlier and now take a quick inventory of the conditions in your school environment. Respond to each item by placing an "x" in the appropriate space.

	Doing O.K.	Need Improvement	Need to Know More About
1. Teachers should have clear expectations that all students can be taught and none will fall below the minimum levels of achievement.			
2. Students must believe that they can learn and that by their own efforts they can control their achievement.			
3. Teachers should treat all students equivalently and not divide them by ability.			
4. In a good school, the whole faculty adheres to mastery learning concepts.			
5. Acquisition of basic skills takes precedence over other school activities.			
6. Teachers use cooperative team learning techniques to promote peer instruction, motivation, and integration.			
7. Monitoring of pupil progress in relationship to instructional objectives is a frequent activity. (greater reliance on achievement tests)			

	Doing O.K.	Need Improvement	Need to Know More About
8. The school staff maintains an orderly, well-structured environment conducive to maximum academic engaged time.			
9. The principal is assertively involved directly or indirectly in the instructional program.			
10. The staff must develop a high degree of shared expectations and norms for collegial work and continuous improvement.			
11. A system for recognition for achievement and positive behavior must be in operation.			
12. An ongoing involvement of parents in reinforcing the expectations that students will achieve.			

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APPENDIX E

Effective Schooling Practices

Alaska
Effective
Schooling
Program

Effective Schooling Practices

Effective schooling practices are ways to make schools better places for students to learn. They are procedures, approaches and attitudes which focus the entire school on helping students reach high levels of achievement.

Research shows that certain schooling practices are more effective than others because they help teachers and administrators provide better instruction—and they help students learn. A school environment conducive to learning, a clearly defined curriculum, focused classroom instruction and management, ongoing assessment and evaluation of students and programs and strong instructional leadership all help make schools effective.

The effective schooling practices listed in the following pages have been identified for use in the Alaska Effective Schooling Program, a statewide effort to improve Alaska's schools. These lists were compiled through a survey of educational research by the Northwest Regional Educational Laboratory in Portland, Oregon, under contract to the Alaska State Department of Education.

Using these effective practices, local schools and districts in Alaska will take charge of their future. They'll make Alaska's good schools even better.

LEADERSHIP: Fueling the fire and fanning the flame

A school with good leaders is bound to improve. Good leaders introduce ideas, get people involved, make decisions and keep everybody working until the job is done. Once the goals are set, school improvement takes time—and with good leadership keeping the school on target, every good school can get better.

What the school needs

- By consulting teachers, parents, students and other community members, leaders collect opinions about what students should learn and what teachers should teach.
- Leaders study schooling trends to compare local schooling with what's going on statewide or in other parts of the country.
- Student achievement data is analyzed to find out student strengths and weaknesses.
- All information is compiled, reported and used as the basis for choosing and initiating effective schooling practices that meet local needs.

What's working already	• Leaders find out what effective practices are already at work in the school by systematically collecting and analyzing data and through investigating staff concerns. • Community perceptions of the school are assessed to be sure that public opinion is not reducing school effectiveness.
Overall school status quo	• Leaders prepare and present a full report of what's happening in the school to staff, board, students, parents and the rest of the community. • The report spells out how well the school is doing and how it can improve: identified needs, current practices, areas for change and effective practices that can make the school better. • Reporting the school *status quo* can increase awareness of and support for school improvement efforts in all segments of the community.
Goals for change	• Leaders develop priority goals for both what should be changed and how changes should be made. Goals are based on synthesis of data and opinions from staff, advisory groups, students and community members. • Priority goals are reported to all members of the community.
A plan for improvement	• Leaders research alternative ways to put effective practices to work. They look at various approaches, decide how to judge their local usefulness, and involve staff, community members and even students in developing recommendations for a plan of action. • After reviewing recommendations, a plan is adopted. Leaders then work to gain district support and approval for the approach and to make sure everyone knows about the selected school improvement plan.
Getting the staff ready	• Leaders work with staff to plan ways to prepare for improving the school. They define what the staff needs to know to implement effective practices, find out how much the staff already knows, and arrange necessary staff development activities to bring all staff up to speed.
Lining up resources	• Leaders list resources needed for school improvements, get whatever approvals are necessary, allocate local budget funds and make sure the school acquires the right stuff.

Keeping the school on target

- Leaders monitor and evaluate improvement changes according to criteria established with staff cooperation and approval. They periodically make suggestions for refinements, prepare progress reports and report at year's end about how goals have been met.
- Leaders work to coordinate staff improvement efforts and continue keeping track of student achievement data to assess progress toward goals.

Fine tuning

- Leaders keep working to make sure changes are smooth and that selected effective practices continue to get the job of improvement done. Either once a year or every other year, they head up renewal efforts to keep improvements in tune with changing local needs.

SCHOOL ENVIRONMENT: *We're all in this together*

In effective schools, everybody works together to get the job of learning done. Students, staff and parents all take part. Expectations and goals are clear, motivation is high, school time is used for learning, and high achievement is rewarded. Learning takes teamwork. In effective schools, everybody counts.

Students are expected to learn

- Administrators and teachers have high expectations for student achievement.
- Expectations are clearly defined.
- Expectations are not reduced for any student: all students are expected to work toward priority goals.
- Everyone accepts that school is a place for learning.

Students are expected to behave

- A written code of conduct specifies acceptable student behavior.
- Students and staff are familiar with the code.
- The code outlines criteria and consequences for unacceptable behavior, covering discipline, tardiness and absenteeism.
- Students and staff are trained and reviewed in code use.
- There are written procedures for using the code. Procedures are routine and quick to administer.
- Disciplinary action quickly follows infractions and is always consistent with the code.
- Discipline is administered in a neutral, matter-of-fact way; and the disciplinarian focuses on the student's behavior, not on personality.

- Students are told why they are being disciplined, in terms of the code of conduct.
- Out-of-school suspensions or expulsions are minimal: in-school suspension is used in most cases.
- Follow-up and action for absenteeism and tardiness occur within one school day.

There are expectations for staff

- All staff believe that all teachers can teach all students and that all students can master all priority objectives.
- Staff members are expected to meet specified performance standards and are evaluated through a monitoring system.
- Teacher effectiveness concepts are used to develop criteria for teaching excellence.

Everyone knows that time is used for learning

- Disruptions are reduced to assure school time is primarily used for learning.
- Building priorities, established collaboratively or by directive, emphasize use of time for learning and allocate time in accordance with district and building objectives.
- Everyone understands time priorities, school communications highlight the importance of time for learning, and there are procedures to maximize learning time.
- The school year calendar is organized to maximize learning time. Prior to adoption, new programs and procedures are evaluated according to their potential impact on learning time.
- During the school day, unassigned time and time spent on non-instructional activities are minimal. School events are scheduled to avoid disruption of learning time.
- The school day, classes and other activities start and end on time.
- Standard procedures, known to students, parents and teachers, are used for messages to avoid interruptions during class periods.
- Students are not pulled out of class: pullouts for non-academic activities (sports, counseling, etc.) routinely do not exceed one student per teacher per day; academic pullouts from regular classes are held to a minimum. Pullouts are monitored by administrators who take corrective action as necessary.
- There are procedures for providing extra help after school hours to students who need it.

There are incentives and rewards for students and teachers

- Students are rewarded for academic achievement and for excellence in behavior.
- Student incentives and rewards are appropriate to student developmental levels and are consistently applied through explicit, objective procedures. All students have opportunities to work for rewards, which are chosen because they appeal to recipients.
- Teachers are rewarded for excellence in teaching.
- All staff have the opportunity to work for rewards, according to objective, explicit criteria and standards.
- Teacher rewards are linked to student achievement.
- At least some student and teacher rewards are made publicly. Some are immediate and some are delayed.

Parents are involved

- Parents know their responsibilities for helping students learn.
- There are building standards and procedures for involving parents and all parents are made aware of them.
- Parents have various options for becoming involved in schooling.
- Staff members provide parents with information and techniques for helping students learn (training sessions, handbooks, meetings, etc.).

CLASSROOM INSTRUCTION AND MANAGEMENT: Teachers make a difference

Students spend most school time in classrooms with teachers. Teachers set standards, organize lessons and establish routines: they get students ready for what they're expected to learn and help them learn it. When it comes to effectiveness in the classroom, what teachers do really makes a difference.

Standards for how students behave

- Teachers let students know that there are high standards for behavior in the classroom.
- Standards are written, taught and reviewed from the beginning of the year.
- Students know that they are all expected to meet standards and clearly understand procedures and rules of behavior. They also believe they can meet those standards.

Clear routines and procedures	• Class starts quickly and purposefully, and teachers have assignments or activities ready for students when they arrive. Materials and supplies are ready, too. • Students make sure they bring materials they need to class each day. They use readily available storage space as needed. • Teachers handle administrative matters in quick, efficient routines and keep class interruptions at a minimum.
Managing student behavior	• Classroom rules are consistent with or identical to the building code of conduct and are appropriate to student developmental levels. • There are set procedures for discipline which are applied consistently to all students. • Teachers stop disruptions quickly, taking care to avoid disrupting the whole class. • Students who break rules are warned only once; the second time the student is disciplined according to procedures. Discipline takes place quickly and is clearly linked to the student's inappropriate behavior. • In disciplinary action, the teacher focuses on the student's behavior, not on personality.
Standards for learning	• Teachers set high standards for learning and let students know they are all expected to meet them. • Students know what they are expected to learn and that they must meet basic objectives and classroom standards of quality.
Placement and grouping	• Whole-group instruction is preferable, but smaller groups are formed when needed to make sure all students learn thoroughly. • Groups are heterogeneous, and students are placed according to individual achievement levels. Teachers avoid underplacement of students. • Teachers review and adjust groups often, moving students when achievement levels change.
Stage setting	• Teachers help students get ready to learn. They spell out objectives in simple, everyday language and repeat them often. Teachers may post objectives in the classroom, and they regularly check to be sure students understand them. • Students understand objectives and are challenged to learn, particularly at the start of a difficult lesson. They know in advance what's expected and are ready to learn it.

Instruction and direction

- Teachers give students background information and clear written and verbal directions, letting them know that materials and lessons will help them reach learning objectives.
- Students who succeed at learning learn more, so teachers select academic tasks that assure a high rate of success. Students have plenty of opportunity for both guided and independent practice.
- During lessons, teachers ask clear, concrete, simple questions and make sure all students have a chance to respond.
- Teachers assign homework students can successfully complete. Directions are clear, and students write them down to avoid forgetting them. Teachers check homework and give students quick feedback.
- Parents help keep students involved in learning. Teachers let parents know that homework is important, give them tips on how to help students keep working, and let them know how students are doing. Parents keep track of student progress and help them follow through on homework.

Time for learning

- Teachers follow a system of priorities for using class time and allocate time for each subject or lesson. They concentrate on using class time for learning and spend very little time on non-learning activities.
- Teachers set and maintain a brisk pace for instruction. New objectives are introduced as quickly as possible, and teachers give students clear start and stop cues according to specific time targets.
- Students are encouraged to pace themselves, using the clock to time themselves as they complete lessons. If they don't finish during class, they work on lessons after school, during lunch or in other time so they keep up with what's going on in class.

Review and reteaching

- Teachers introduce new material as quickly as possible at the beginning of the year, semester or quarter, with a minimum review or reteaching of previous lessons.
- Teachers reteach lesson content until students show they've learned it.
- Teachers use regular reviews of key concepts and skills throughout the year to check on student retention.

Interacting with students

- Teachers pay attention to student interests, problems and accomplishments in social interaction both in and out of the classroom.
- Teachers make sure they let students know they really care.

Rewarding students

- Teachers set up systems for frequent and consistent rewards to students for academic achievement and excellent behavior. Systems are appropriate to the developmental level of students, and excellence is defined by objective standards, not by peer comparison.
- All students know about the rewards and what they need to do to get them. The rewards are chosen because the students would like to have them.
- Rewards are made in terms of specific student achievement. At least some are public (display of student work); some may be immediate and others delayed.
- Parents are told about student successes and they encourage students to keep working toward rewards.

CURRICULUM: Blueprint for learning

The curriculum is a blueprint for learning—a clear picture of what students are expected to learn and how teachers can help them learn it. With a strong curriculum, a school has the goals, the process and the resources that can help students learn better and make it easier for teachers to teach.

What students are expected to learn

- Instructional planning is consistent at the district, school and classroom levels. A limited number of priority objectives make it clear just what students are expected to learn.
- At the district level, objectives are specified and sequenced by grade level; reviewed for technical quality, specificity and clarity; targeted for students according to development level and what they are expected to learn. Objectives are selected to represent a range of learnings and are teachable within an established timeframe.
- At the building level, written objectives match school priorities and district guidelines, suit student needs and are prioritized within the school. Staff, students and the community know about the priorities. Responsibility for teaching objectives is assigned to teachers or within subject areas.
- At the classroom level, objectives are developed and prioritized according to district and building guidelines; selected or approved by teachers; sequenced to facilitate student learning; and organized or grouped into units and lessons. Unit objectives are set in a timeline so teachers can use the calendar for instructional planning.

Resources to help them learn it

- Learning materials, space available and special facilities, staff and other instructional resources are identified and catalogued to support objectives, particularly the highest priority objectives.
- At the district level, resources are matched to objectives, include alternative media (textbooks, speakers, audio-visual aids); are checked for accuracy and are matched to student developmental levels.
- At the building level, resources are readily available, matched to objectives and used in accordance with district guidelines. Non-district resources (businesses, consultants) are identified and correlated to objectives, match student development and are verified for accuracy.
- In the classroom, resources match objectives being taught and the developmental level of students, and they are selected to reflect district and school guidelines. Resources are sufficient for all students as they need them, are clearly identified in unit and lesson plans and include alternatives that have been reviewed for content and appropriateness.

Approaches that help teachers teach

- At district, building and classroom levels, a variety of instructional strategies and techniques are identified for each priority objective and are integrated among levels for consistency in the teaching of objectives.
- Instructional strategies and techniques are appropriate for the developmental level of students, effective in helping students achieve objectives and include alternative approaches for teaching each objective.
- In the classroom, strategies and techniques are described in unit and lesson plans. Student responses required in lessons are the same as those required by the lesson objectives and/or assessment items. Students are allowed and encouraged to demonstrate responsibility and self-reliance.

ASSESSMENT AND EVALUATION: Knowledge is power

Schools that measure how they're doing always know how to keep getting better. Regular assessment and evaluation of students, programs and staff tell schools whether they are meeting their goals—and whether the goals need to change. Once improvement begins, the more the school knows, the stronger and more effective it can get.

Planning for student assessment

- Regular assessment of students and evaluation of results at the district, building and classroom levels monitor student progress toward learning objectives. Assessment methods and instruments are selected to measure learning objectives at each level.

- Measurement is coordinated: district-level planning sets up district-wide measurement, and building and classroom level planning reflect district actions.
- Coordinated planning results in integrated assessment and evaluation and eliminates duplication of efforts.

Finding out how they're doing and letting them know

- Student assessment is planned, regular, routine and causes minimal disruption of classroom instruction.
- Testing results are reported quickly in terms of learning objectives on which students were tested.
- At the district level, clearly stated assessment procedures are carried out by district staff. Major tests are announced well in advance to allow time for building and classroom scheduling. There are specific routines for scoring, storing, reporting and analyzing results.
- At the building level, staff follow simple routine procedures for frequent collection, summarization and reporting of student achievement information. Individual student records are maintained about achievement, discipline and tardiness.
- At the classroom level, teachers frequently monitor student learning, both formally and informally. Teachers know and use test development techniques to design valid, reliable assessment instruments. Assessment is routinely handled and students quickly hear results. Reports of results to students are simple and clear to help them understand and correct errors; and reports are tied to learning objectives.

Taking advantage of new information

- District, building and classroom assessment results are used to evaluate programs and target areas for improvements.
- District and building level summaries of results are regularly reported to all staff and the community.
- At the building level, results are compared with targets for progress and the staff hears about discrepancies.
- Classroom teachers use results to find out if instructional methods are working.

Keeping teachers on target

- Written procedures for staff supervision and evaluation at the building level help teachers set and work toward professional growth objectives.
- All staff are evaluated annually according to building criteria based on teacher effectiveness concepts and practices. Resources are made available to help teachers reach professional growth objectives.

- Classroom observations are made according to an agreed upon, regular schedule to collect consistent information about teacher performance. Observations include monitoring the consistent application of the building code of conduct.
- Teachers hear results of observations quickly, and staff is encouraged to discuss problems and concerns about school effectiveness. Building administrators establish troubleshooting routines for quick resolution of staff concerns.

Elements of Effective Schooling

Leadership

Identifying School Needs
Determining Implementation Level of Effective Schooling Practices
Developing Status Report
Defining Improvement Goals
Planning Improvement Approach
Preparing Staff for Improvement Implementation
Securing Resources to Support Improvements
Monitoring and Evaluating Implementation of Improvements
Renewing Improvement Efforts Annually or Biennially

School Environment

Expectations for Student Learning
Expectations for Student Social Behavior
Expectations for Staff
Use of Time
Rewards and Incentives
Parent Involvement

Curriculum

Learning Objectives
Resources
Instructional Strategies and Techniques

Classroom Instruction and Management

Expectations for Behavior
Classroom Routines and Procedures
Managing Student Behavior
Expectations for Learning
Placement and Grouping
Stage Setting
Instruction and Direction
Use of Time
Review and Reteaching
Student/Teacher Interactions
Incentives and Rewards for Student Achievement and Behaviors

Assessment and Evaluation

Alignment
Procedures
Uses of Assessment Data
Monitoring Staff Performance.

APPENDIX F

A Selected Bibliography on Change/Organizational Structure

A Selected Bibliography on Change/Organizational Structure

Change

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APPENDIX G

Check-Up Chart

CHECK-UP CHART

EFG
SWRZ
ANZO
PLED

	5 EXCELLENT SHAPE On maintenance only.	4 GOOD SHAPE Needs to improve in certain areas, work out more.	3 AVERAGE SHAPE Must set higher goals & raise level of achievement.	2 BORDERLINE Will slip into #1 position unless one takes control.	1 OUT OF SHAPE Needs a self-diagnostic, prescriptive program.
Shows confidence in staff					
Possesses high educational expectations and makes it known to staff, students, and community					
Shares expectations and articulates priorities clearly to staff, students and community					
Clearly sets the tone for the school					
Provides motivation and support for school improvement					
Shares values/beliefs with members of the educational community					
Behaves in ways that are congruent with his/her values					
Talks and behaves in ways that continuously focus on the mission of the school					
Has a definite point of view about instruction and promotes it					

	5 EXCELLENT SHAPE On maintenance only.	4 GOOD SHAPE Needs to improve in certain areas, work out more.	3 AVERAGE SHAPE Must set higher goals & raise level of achievement.	2 BORDERLINE Will slip into #1 position unless one takes control.	1 OUT OF SHAP Needs a sel diagnostic, prescriptiv program.
o Regularly discusses and reviews teaching performance					
o Is actively involved in teaching within the classroom					
o Sets instructional strategies in specific areas					
o Assumes responsibility for achievement of basic skills					
o Has a well-developed plan for basic skills instruction					
o Actively participates in selection of resources					
o Actively participates in planning and organizing curricula					
o Demonstrates a mix of strong managerial and instructional skills					
o Recognizes and rewards achievement and positive contributions					
o Monitors pupil progress and uses evaluation system as accountability					
o Uses situational leadership techniques					
o Models that which he/she expects of others					
o Uses problem-solving processes as part of decision-making					
o Takes initiative and asserts him/herself					
o Follows through on commitments					

	5 EXCELLENT SHAPE On maintenance only.	4 GOOD SHAPE Needs to improve in certain areas, work out more.	3 AVERAGE SHAPE Must set higher goals & raise level of achievement.	2 BORDERLINE Will slip into #1 position unless one takes control.	1 OUT OF SHAPE Needs a self-diagnostic, prescriptive program.
o Demonstrates respect for those with whom he/she works					
o Communicates openly and encourages others to do so					
o Uses sound conflict resolution techniques when appropriate					
o Is thoroughly knowledgeable about any innovation he/she expects teachers to implement					
o Knows and "owns" with teachers the problems involved in implementing the innovation					
o Participates with teachers in planning inservice.					
o Allocates resources on the basis of staff input					
o Maintains close contact with his/her supervisors					
o Regularly reviews and minimizes duplication among subunits of the school					
o Actively involves staff in problem solving					
o Establishes and maintains well-defined structures					

Leadership Training Program
Central, Honolulu and Leeward
School Districts
November 1982 JTP

Effective Schooling, Educational Change & the Role of the Principal

Leadership Training Program

NOVEMBER 22–24, 1982
HYATT REGENCY HOTEL • HONOLULU, HAWAII

FOR DISTRICTS OF CENTRAL, HONOLULU AND LEEWARD

Sponsored by

Division of Planning & Service Coordination
Northwest Regional Educational Laboratory
300 S.W. Sixth Avenue
Portland, OR 97204

ATTACHMENT I

PLANNING SESSION DATA

DISTRICT PLANNING TEAMS

Central District

Richard Honda
James Iha
George Kojima
Gordon Kuwada
Dan Lau
Edith Lee
Paul Misaka
Ron Toma
Amy Watanabe
Robert Endo
Francis Hatanaka, District Superintendent

Honolulu District

William Araki
Claudia Chun
Gladys Farm
Melvin Furukawa
Allen Kidoguchi
Richard Lee
Ernesta Masagatani
Helen Matsui
Ted Nishijo
Ronald Spinney
Gerald Suyama
Claudio Suyat
Barbara Won
Lilliann Noda
Margaret Oda, District Superintendent

Leeward District

Dickey Hamasaki
Wallace Hayashi
Arthur Ouye
Arlene Shigemasa
Byron Yoshina
Wendell Staszkow
Hartwell LeeLoy
Robert Watanabe
Arthur Koga
Andrew Nii, District Superintendent

State Department of Education

Diane Gibbons
Kathleen Steffen
Claire Yoshida

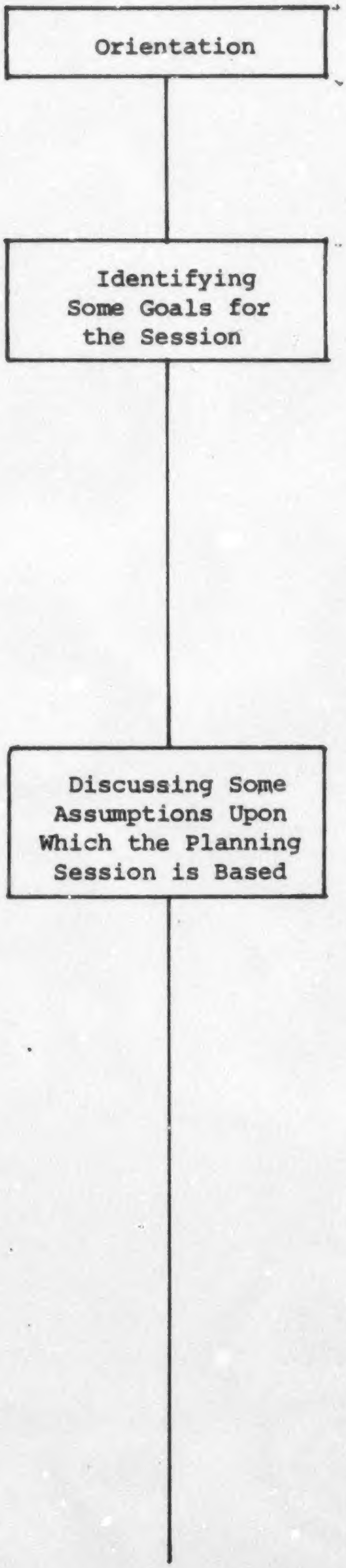
Northwest Regional Educational Laboratory Consultants

Jack Allen
Joe Pascarelli
Ron Smith

SECTION I

PLANNING SESSION AGENDA FLOW

AGENDA FLOW


Orientation
Identifying Some Goals for the Session
Discussing Some Assumptions Upon Which the Planning Session is Based

Introductions, general purposes of the session, and some expectations

Outcomes

- Planning Team will have summarized the "implications" into themes, patterns, clusters
- Planning Team will have identified some basic building blocks for developing a long-range professional development model
- Planning Team will have identified continuing roles for district planning teams

Assumptions

- Participants will work towards developing a design for professional development
- Commitment to the process is necessary for success
- There is a commitment to study the role of the principal as instructional leader
- The professional development design that emerges will include both individual and group experiences as well as applications in backhome work settings
- Growth will be plotted across three levels--the self, the group and the organization
- We are moving towards building an interdependent cross-district support system
- We are all action researchers about to embark on a study in educational change

- Each of us will identify a target problem or need area as a primary focus for study. The area should relate to our everyday worksetting (e.g., school site)
- We will all participate in some training activities that are generic in nature to each of our roles (e.g., leadership skills)
- The "project" that emerges will concentrate on matching and adapting research and development findings to practical, everyday issues
- The professional development experiences will be based in theory, but converted/transformed into the world of practice
- Learning activities will be based on case study methods. Focal areas will be identified and participants will refine their skills, apply learnings to the school level, return to analyze their experiences with peers, and continue to sharpen and acquire additional knowledges and experiences

Reviewing Some Participatory Planning Norms

- We're responsible for a broader constituency
- We're a group of peers (engaged in planning)
- We're task oriented
- Creativity will be encouraged
- Decision-making processes are clear
- We're involved this day in "planning," not "doing"
- We're sharing and learning together
- We'll focus on concrete items--action planning

Discussing a Professional Development Model

Joe Pascarelli shared the broad framework of a proposed professional development model that included four off-site "training" sessions with built-in application experiences. Participants could acquire, share, learn, problem solve and practice during formal sessions and apply learnings in school settings (See Figure 1)

Such a model could enhance knowledges, skills, experiences and develop receptive attitudes to new learnings resulting in enhanced leader effectiveness. Hypothetical "content" areas that could form the basis for a professional development curriculum (See Figure 2)

Individual District Planning

District teams met to identify specific concerns/issues concerning professional development opportunities. Results of these small-group sessions appear in Section II

Cross-District Sharing

Each district reported out to others the results of their planning session, highlighting specific concerns

Planning Next Steps

After recapping the morning's activities, the group identified immediate next steps as follows:

Task	Who	By When
Reflect on the sessions and output	All	Immediately
Write up newsprint data and distribute	Joe	12/10

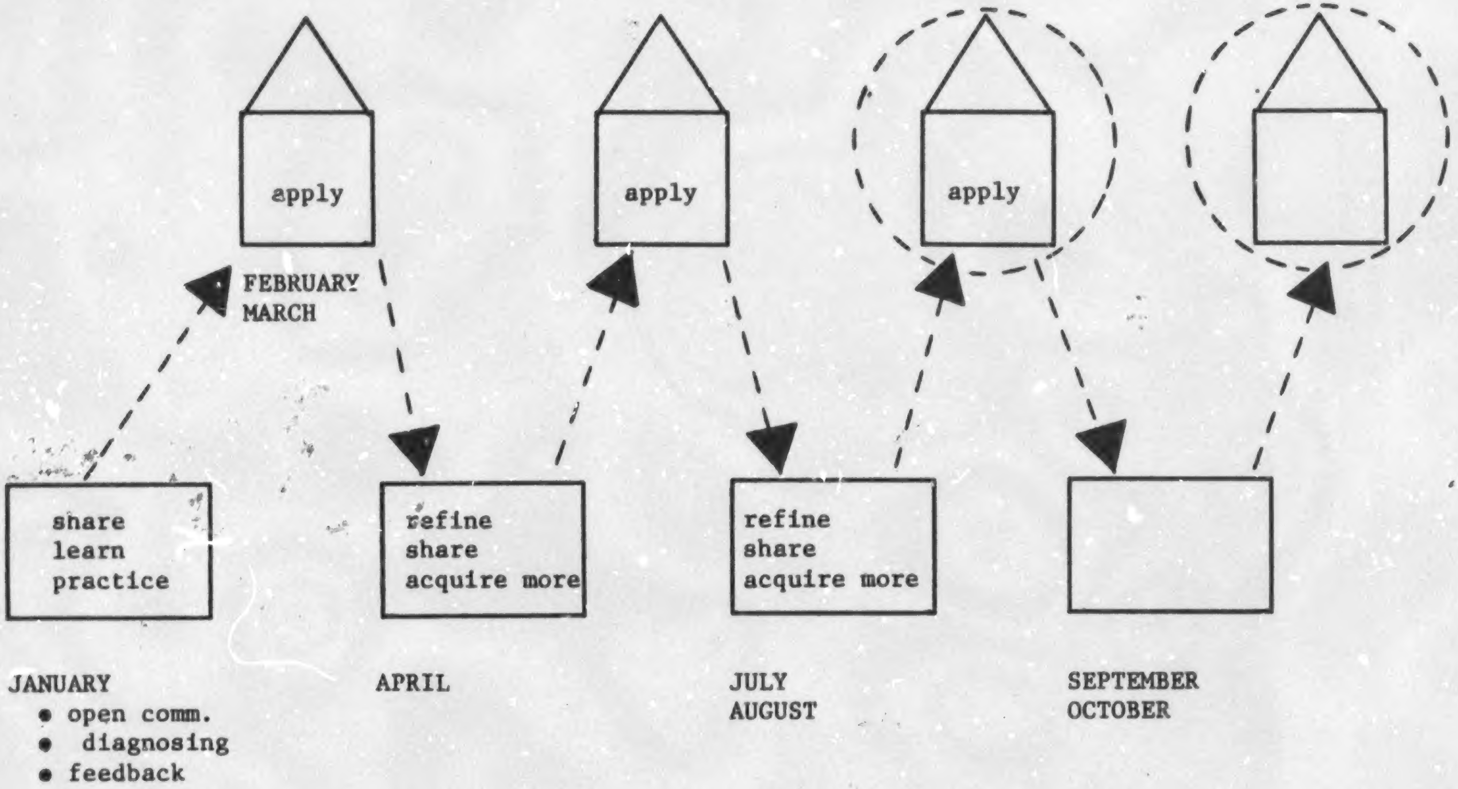

apply
apply
apply
FEBRUARY
MARCH
share
learn
practice
refine
share
acquire more
refine
share
acquire more
JANUARY
• open comm.
• diagnosing
• feedback
APRIL
JULY
AUGUST
SEPTEMBER
OCTOBER

Fig.1 A PROTOTYPE FOR PROFESSIONAL DEVELOPMENT IN INSTRUCTIONAL LEADERSHIP

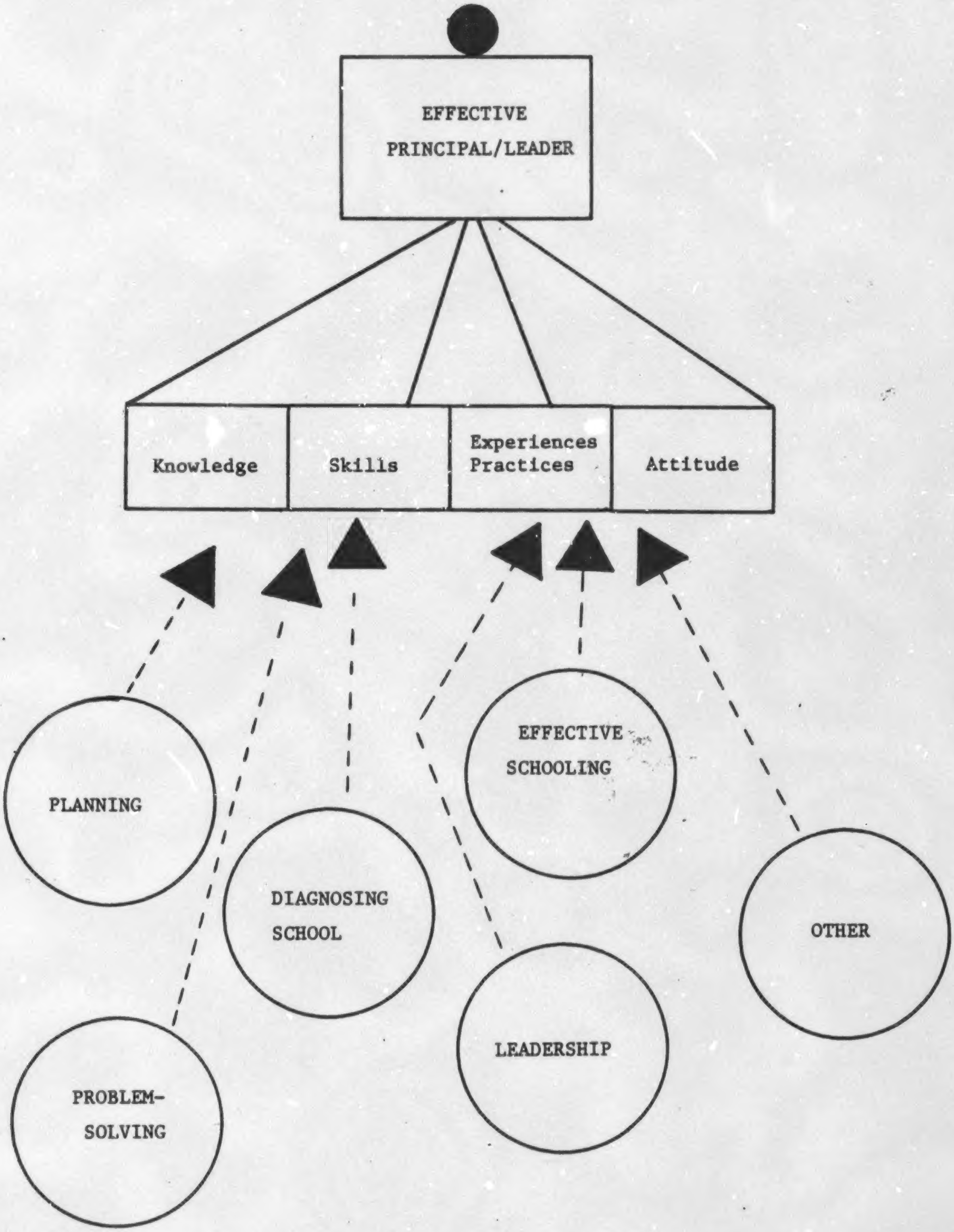

EFFECTIVE
PRINCIPAL/LEADER
Knowledge
Skills
Experiences
Practices
Attitude
PLANNING
DIAGNOSING
SCHOOL
PROBLEM-
SOLVING
EFFECTIVE
SCHOOLING
LEADERSHIP
OTHER

Fig. 2 Building a Professional Development Curriculum

Task	Who	By When
Return to district planning teams	Joe	12/10
Examine, analyze, and share ideas	All	12/14
Develop optional designs	Joe	12/15
React to designs and recommend some next steps	All	1/10
Meet to refine and advance data and design	All & Joe	1/20

SECTION II

DISTRICT PLANNING TEAM OUTPUT

(raw data)

CENTRAL DISTRICT

CENTRAL

Establish a Positive Climate

Assumptions

- all principals want to improve

Need

- help principals understand need to be open
- elicit honest feedback (how do you "draw out" -- the flow of information?)
- create less non-threatening atmosphere
- involvement -- convey sincerity
- ownership by principals

Implications

H.S.-1. conflict resolution

2. teaching performance

3. involvement in classroom teaching

4. sets instructional strategies

5. planning/organizing curriculum

I.S.-1. personnel management skills

E.S.- (Refer to pages entitled "Deriving Implications - Stage I - III")

Role of District

- support
- commitment
- recognize individuality of people (prin.), schools
- encourage more effective cooperation, teamwork among principals -- sharing
- trust
- "adopt a peer"

CENTRAL (con't.)

Questions

- Voluntary participation -- does it encourage others?
- Attitudes?
- Commitment?
- "Move" with those who are ready; what about those who choose not to belong?

Participation

- Must address changing role of principal management as well as curriculum leader.

NWREL Support

- Consultation.
- Share research.
- District needs to identify specific area of assistance from NWREL.
- NWREL provides resources, support...principal must be in charge.

ON-GOING PROCESS

Phase I

- Address immediate knowledge needs identified at workshop (through general principal area or level principal meetings).
- Surface additional need, analyze for validity.

Phase II

- Diagnose needs.
- Find out what's working.
- Identify resources.
- Follow-up, support.
- Dynamic, continuous process.

South Area
16 people in group. Central

DERIVING IMPLICATIONS
STAGE I - Effective Schooling - 4 responded

Implications as Principal

1. Principals need to accept curriculum alignment as important/beneficial, make commitment to finding effective ways in working with staff to accomplish this goal.
2. Creating environment which risk-taking is encouraged.
3. Need to develop skills to conduct better structured meetings with clear goals and summary.
4. Learning strategies/skills to set expectations and being consistent in not making excuses for anyone, making fewer allowances for individual situations.
5. Make conscious effort to discuss with teachers their goals for students in their class.
6. Make conscious effort to concentrate on basic skills.
7. Making effort to share research findings of effective schooling with teachers and helping them to implement activities towards this goal.
8. Helping teachers to teach rules as lessons. (Creative ways of teaching.)

Implications for Staff

1. Need to help staff by giving time together to look at tests being used, FPO and curriculum materials to correlate them.
2. Need to help staff realize need for realigning curriculum by looking at data together.
3. Help teachers to clarify own philosophies of how and what to teach students.
4. Must help teachers to believe that all students can learn.
5. Must help teachers create an environment where risk can be taken without fear.
6. Staff must be informed of findings and be assisted in seeing need for change in identified areas.
7. Need to support teachers as they participate.
8. Design lessons on teaching rules creatively.

Implications for Staff (con't.)

9. Involve staff in making decisions to establish reward systems, in identifying where and how we want to go.
10. Help staff to be open-minded about findings and use to help with their own effectiveness.
11. Concentrate on basic skills.

Implications for Students

1. Students should benefit -- achievement, behavior, happier.
2. Learn -- basic skills.
3. Develop "can do" attitude in students.
4. Know expectations and consequences.

Implications for D.O./Parents/DOE

1. Support Principals -- encourage, provide resource to help us help staff, clarify.
2. Communicate by showing your interest in what we're doing. Not only when there is a problem.
3. Encourage child.
4. More parent involvement in building positive attitude.
5. Publicize. Input.

DERIVING IMPLICATIONS
STAGE II - Schools and Change - 3 responded

Implications as Principals

1. Need help in learning how to use this model (research study findings) to bring about changes.
2. Need to bring about awareness of problems to teachers with intention to help them to see need for change. (Skills in involving people.)
3. Read up on various motivating techniques and rewards ideas.

DERIVING IMPLICATIONS
STAGE III - The Role of the Principal - 8 responded

Implications as Principals

1. Need more critical analysis of daily work and activities and how it ties in with being an effective leader.
2. Need to set goals for myself in the school.
3. Need some inspiration once in awhile so we can continue to believe "it's worth it!"
4. Need to share my feelings of inadequacy or fears with empathic ears just to unload sometimes.
5. Need feedback on what I share and some suggestions to help me get the job done.
6. Need to lead, review and setting of new procedures.
7. Provide time for openly sharing/discussing improvement efforts.
8. Review school distractions.
9. Looking at problems/factors affecting school, how can I develop "we can" attitude?
10. Need to translate beliefs, values, knowledge, qualities of leadership into action.
11. Start to take control immediately. (Check up chart - many areas borderline.)
12. Promote collaborative attitudes towards improvement of instruction.
13. Digest much information as possible and internalize - re: change of attitude/behaviors.
14. Could look at and consciously work at supporting teachers with less paperwork and distractions.
15. Meetings can be improved. Need to learn skills in conducting meaningful/effective meetings within time allowed.
16. Learning other creative ways to "get job done" and involving people other than meetings.

HONOLULU DISTRICT

HONOLULU

Implications (Diagnosis/Assessment - How to:)

Principals

1. Schedule in-service activities.
   Recognize efforts of others.
   Schedule time of day - routines.
   Model for teachers.

2. Need common sense approach.
   Consider human element.
   Prioritize staff-school differentiated needs.
   Barriers - how to's in developing in-service and planning needs.

3. Know how to motivate staff.
   Time for in-service, when for teachers?
   How to renew spirit, body, mind (wellness).
   In-service: principal, instructional leader.
   Assistance acquisition resources.
   Strategies for administration in contract matters.
   Focus on each administrator taking control.
   Develop continuity and long-range programs that last.

4. Data collecting process implementation.
   Need to know change process.
   More assessment process implement - assistance in assessing.
   Focus on all groups that cause change.

5. Use methods that facilitate "smooth" change.
   Principal must take leadership role.
   Principal must be committed.
   Principal must plan, develop, implement.
   Principal must be supportive.
   Principal must be willing to modify.
   Principal must be willing to change way that they have been working with change. Knowledge base Master Teacher.

6. Know how to plan and implement more systematically, involving all groups in the school.
   Transfer input of information group to formal group decision-making.
   Use materials to articulate philosophy, belief.
   Read and learn as much about program.
   Utilize interest groups more.
   Not ignoring certain groups in change process.

Staff

1. Develop confidence in students.
   Goals/strategies more defined.
   See others in action.
   Recognize contributions - reward positive.

Implications (con't.)

Staff

1. Believe every child can learn.
   Help each other toward excellence.
   Motivate each other by awareness.
   Staff must see/feel need for change.

2. Focus on change in personal beliefs/knowledge. Change from negative to positive posture.

3. Staff must believe in change 'can do attitude.'

4. 'Can do' school can be better.
   Staff work with administration for effective school.
   Administration styles/process.
   Have staff involved in same processes that leaders are involved in.
   Staff should know clear objectives/specifics.

Students

Develop better self-concept.
Work toward greater achievement.
More contact and directions with interactions with principal.
What is available and to track options.
Know rewards/consequences.
See relevance for change - what's in it for them.
Needs be articulated to students.
Students believe can learn.
School provide opportunities.
Greater assertive involvement in process of instruction.
Student more involved, responsible behavior to learn commitment, high expectations.
Curriculum alignment matching test outcomes/instruction.
Clear goals, high expectation communication and felt.
Monitoring system to track progress of students.
Students clear idea of what's expected of them.

Others

Need rewards/incentives at state/district level for schools through resources, personnel, facilities, money.

Parents

Phil/objectives need to be articulated: support and assistance.

District Office/State Office

Make program material available.
Select test more in line with FDO and PE.

Implications (con't.)

Others

Negotiating committee must be cognizant of time needed for change.
Have in-service involving all levels, State Supt. and downward.
State/District should submit plan of action to principals regarding reduction of paperwork.

Parents

Should have high expectations of children and monitor their progress.

District

Philosophical commitment from district.
More effective evaluation of administration at District level.
Every child can be a gifted student.

Staff Development Suggestions

1. Effective teaching use video to learn evaluation techniques.

2. Problem-solving workshop.

3. Have resource people that can convince personnel that low income students can learn.

- Skill in assessing, diagnosing problems, problem-solving.
- Knowing how to plan, develop, implement systematically.
- Rewards/incentives (plan/implement).
- High expectations and monitoring system.
- Skill in interpersonal relations with staff.

LEEWARD DISTRICT

LEEWARD

IMPLICATIONS - My Role as Principal
STAGE I: Effective Schooling

- Bring staff and parents to a level of awareness.
- Be aware of differences among people.
- Set goals and expectations.
- Set priorities, needs.
- Develop a sense of togetherness in our school.
- Assist teachers with management skills.
- Model effective behavior as educational leader.
- Need to develop more communication with staff/parents.
- Be aware of base research on effective schooling and measures.
- Develop strategy to develop staff for effective schooling.
- Assess testing process to validate curriculum.
- Match resource allocation with curriculum change.
- Assess factors prior to effecting change.
- Provide staff development.
- In-servicing, motivating, instructional support.
- Trouble-shooting.

Staff

- Plan course of action; set deadline.
- Be involved in session to determine where staff is.
- Staff needs to be open and give in-put.
- Listen, discuss materials presented; articulate and implement model, evaluate-share with interested schools.
- Internalize belief that all students can achieve the minimum level.
- Utilize mastering techniques.
- Have staff involved in setting priorities.

Staff (con't.)

- Need to review test (test assessment).
- Awareness of each component for alignment to occur.
- Improve in teaching methods.
- Clear management plans for emergencies.
- Creating a healthy environment.
- Principal as instructional leader providing resources.

CONSENSUS DECISION-MAKING

Students

- Improvement in instructional quality: improve in-school climate.
- Clearly communicate with students.
- Inform students how program will be monitored.
- Develop positive attitude that each one can learn and achieve.

Other Groups

- Parents involved with planning.
- Parents involved with child's progress and school's resources.
- District-coordination school plan.

STAGE II: Principal

- Be cognizant of school concerns brought before the total faculty.
- Provide leadership to the faculty.
- Set long-term school priorities.
- Publicly give recognition to staff/students.
- Get various groups involved.
- Provide resources and opportunity to interact.
- Provide time for teachers to work on concerns.
- Need to set high goals for schools.

STAGE II: Principal (con't.)

- Faculty must convince change is necessary.
- Change takes time and needs support commitment and resources.
- Validation of present techniques used to bring about change in schools.

Staff

- Come to a concensus regarding data, ideas, studies.
- Recognize students, colleagues, superiors for accomplishments.
- Delve on the positives.
- Involve in change process/understand.
- Prioritize need - long/short range.
- Set expectation, commitment by staff.
- Needs to feel importance of concerns.
- Become aware qualities of effective teacher.
- Define priorities, define approaches and evaluation procedures.
- Assess teacher strengths.
- Expectation of students - consistent and challenging.
- Encourage continuous professional growth.
- Minimize paperwork, meetings.

Students

- Need to have student leaders (student council) work with their classmates on project geared toward school priorities.
- Involve students in development of programs/rewards to come later.
- Good for students change?

Parents/Others

- Recognize, involve parent groups, district and state.
- Need to reactivate interest in PTA: Have PTA work with school in bringing about necessary changes.

STAGE III: Principal

- Share expectations and priorities to staff, student, community.
- Provide growth opportunity for staff.
- Instructional support, motivation, orderly atmosphere.
- Be more assertive.
- Communicate clearly and earlier, the operations of the school.
- Develop efficient use of meeting time.
- Conflict resolution procedures.
- Set instructional strategy in basic skills.
- Set systematic monitoring plan.
- To bring about changes in the school, must work with individual first.
- Collaboration with District Specialist.
- Examine parameters in DOE to control staffing, facilities and instruction.

Students

- Effective learning.
- Monitor attendance.
- Increase vitality/interest/discipline.
- Can do attitude.
- Understanding what an effective student is.

Other Groups

- Inform parents/effective parenting.
- Effective understanding and cooperation with the directions, priorities, etc. of the school.
- Less paperwork from district/state offices.
- Increase support and respect for school.
- Parent to feel part of the school.

LEEWARD

Themes

A. Communication Skills

B. Motivation - Developing Environment

C. Helping and Supporting Role - Staff Development

D. Assessment and Evaluation Awareness

E. Collaboration: Time - Responsibilities - Workload